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ABSTRACT

This document reports the results of the National Study of Local Operations under Chapter 2 of the Educational Consolidation and Improvement Act of 1981. The 2-year study sought to (1) describe local district activities and operations under Chapter 2, the first federal education block grant, in the program's third year, noting changes occurring over the 3 years and changes from antecedent categorical grant programs; (2) assess the program's achievement of such federal legislative goals as educational improvement, reduction of administrative burden, and increased local discretion; (3) determine the influence of block grant mechanisms on local district activities; (4) identify local and state methods for evaluating Chapter 2 programs; and (5) develop recommendations applicable to future federal policy. The study was organized around eight topics, each representing a purpose of the legislation or a set of issues regarding block grant mechanisms: (1) fund allocation and expenditure; (2) education service delivery; (3) local program administration; (4) local decision making; (5) parent and citizen involvement; (6) evaluation; (7) participation of private school students; and (8) intergovernmental relations. Data were collected through a nationally representative mail survey, a followup telephone survey, and site visits to 24 school districts and 8 state education agencies. This report is introduced with a discussion of the block grant, existing research on the grant, and a conceptual model of the grant and its implementation. The report then summarizes the findings of the study, except for those concerned with evaluation methods. Separate reports are available discussing the findings relative to evaluation and providing greater detail concerning the achievement of legislative goals and the effects of block grant mechanisms. Ninety tables support the text. Appendixes provide error values for the tables, a listing of antecedent programs consolidated under the block grant, the text of the Chapter 2 legislation, a listing of previous studies conducted on Chapter 2, a description of the study methodology, and the mail survey used. (PGD)

ED270835

# THE EDUCATION BLOCK GRANT AT THE LOCAL LEVEL: THE IMPLEMENTATION OF CHAPTER 2 OF THE EDUCATION CONSOLIDATION AND IMPROVEMENT ACT IN DISTRICTS AND SCHOOLS

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January 1986

Michael S. Knapp, SRI International
Craig H. Blakely, SRI International

with the Assistance of:

Marian S. Stearns, SRI International
Rhonda Ann Cooperstein, SRI International
Christine L. Padilla, SRI International
Brenda J. Turnbull, Policy Studies Associates
Richard Apling, Policy Studies Associates
Ellen L. Marks, Policy Studies Associates

Prepared for:

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SRI International
333 Ravenswood Avenue
Menlo Park, California 94025-3493
(415) 326-6200
TWX: 910-373-2046
Telex: 334486

SRI International

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The conclusions of this report are those of the authors and contractors and do not necessarily reflect the views of the U.S. Department of Education or any other agency of the government.

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## Reports from the
## National Study of Local Operations Under Chapter 2

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| Michael S. Knapp<br>Craig H. Blakely | The Education Block Grant at the Local Level: The Implementation of Chapter 2 of the Education Consolidation and Improvement Act in Districts and Schools |
| Michael S. Knapp | Legislative Goals for the Education Block Grant: Have They Been Achieved at the Local Level? |
| Richard Apling<br>Christine L. Padilla | Funds Allocation and Expenditures Under the Education Block Grant |
| Rhonda Ann Cooperstein | Participation of Private School Students in Services Supported by the Education Block Grant |
| Craig H. Blakely<br>Marian S. Stearns | Involvement of Parents and Citizens in Local Decisionmaking Under the Education Block Grant |
| Brenda J. Turnbull<br>Ellen L. Marks | The Education Block Grant and Intergovernmental Relations: Effects at the Local Level |
| Elizabeth R. Reisner<br>Michael S. Knapp | State and Local Evaluation Options Under the Federal Education Block Grant |

## SUMMARY OF THE MAIN THEMES IN THE STUDY*

The major themes in the study's findings can be summarized in terms of the block grant's accomplishments and the broader meaning of the study's findings:

### The Accomplishments of the Education Block Grant

- Achievement of federal goals. As of the third year of its implementation, the block grant has largely achieved the goals set out for it in federal legislation. Chapter 2 has:

  (a) Made widespread, although modest, contributions to educational improvement.

  (b) Reduced the local administrative burdens associated with the programs that it replaced.

  (c) Enhanced local discretion over these federal funds.

  (d) Improved the access of private school students to services supported by these funds.

  A fifth goal--that of encouraging responsiveness to those closest to the education of students (e.g., teachers, parents)--has not been fully achieved; decisionmaking tends to be controlled by a few individuals in the school district office (their decisions, however, are often responsive to salient community concerns).

  These goals typically are not difficult to achieve, given the breadth of allowable purposes under the block grant, the fact that three-quarters of the nation's districts received more funds than under antecedent programs, the relative lack of requirements, and the strong prohibition of an active role for the state education agency.

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[*] This summary is also found at the beginning of Part Six: Conclusions. Readers wishing more detailed summaries are referred to the previous five part summaries and to the summaries at the beginning of each section.

- Achievement of local goals. Given the nature of local goals for block grant funds, it is likely that many, if not most, are achieved to some degree (our study could not systematically assess the achievement of these goals). Local goals typically are modest and diverse and tend not to be specified in detail. Also, block grant funds typically are only one of several means for reaching local objectives.

- Relationship between districts and other levels of government. Interactions between districts and other levels of government have quickly become routinized and relatively trouble-free. SEAs are heeding the law's requirement that they leave program choices to the local level, although there are subtle forms of encouragement for certain uses of the funds. Most interactions between district and state have to do with procedural matters focused on applications and, to a lesser extent, reporting. Monitoring and auditing are not major sources of concern to district personnel, in part because these activities have yet to take place in the majority of districts, in part because SEAs are following patterns long established under other categorical programs when they do monitor or audit.

- Distribution of benefits and costs among districts and among students. Our analyses suggest five broad patterns in the distribution of benefits and costs:

  (a) Chapter 2 has distributed benefits more broadly and evenly among districts than the preceding array of programs.

  (b) The distribution of costs borne by districts (e.g., in terms of loss of funds, complexity in managing services for private school students) is particularly uneven: the largest urban districts, for example, bear a disproportionate share of these costs in all areas of block grant operations at the local level.

  (c) Although adjustments are made for concentrations of special needs, the block grant mechanism tends to disperse funds rather than concentrate resources on those needs.

  (d) The distribution of benefits within districts among different types of students is fairly even, although, because the benefits are spread broadly, students gain proportionately less.

  (e) Benefits have been redistributed among student groups across districts: funds have shifted somewhat from larger concentrations of students (e.g., in urban districts) to smaller ones, and to a small extent from public to private school students. Overall, there is not an obvious shift in funding, however, from poor students to others.

## The Broader Meaning of the Study's Findings

- Putting the block grant's accomplishments in perspective. Timing and context are as responsible for any successes the block grant has had as are its philosophy and structure. The block grant's accomplishments build on the foundation laid by former and current categorical programs. Local decisions about the uses of the block grant reflect the surrounding context of concern about educational improvements.

- Lessons for other block grants. Three conclusions can be drawn from the experience of Chapter 2 so far that may be applied to future education block grants, should they be considered:

  (a) The block grant mechanism seems particularly effective at conveying the intended sense of local flexibility.

  (b) Chapter 2 clearly has simplified the administration of federal funds; other block grants are likely to do the same.

  (c) The pervasive tendency for funds to spread out, even to the point of dilution, seems likely to occur under other block grants.

  In applying these lessons, however, one must acknowledge the special characteristics of Chapter 2 that might not pertain to future block grant proposals--namely, that at current funding levels Chapter 2 represents a relatively small amount of funds, that it comes at a time when other, larger categorical programs serve many of the special educational needs faced by districts, and that it has consolidated a set of programs without large and active political constituencies.

- Chapter 2 and the federal role in education. The education block grant signals a new kind of federal role in education, unlike service to special-needs populations or attention to areas of national concern, which have defined the traditional federal role to date. Chapter 2, instead, seeks to provide federal support for local improvement initiatives. The block grant does so in a way that utilizes existing categorical program structures more than it departs from them. In this sense, Chapter 2 represents a variation on a theme developed over a period of years rather than an altogether new direction for federal policy.

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(For this report and the 5 special issue reports)

Page references are listed for the sections and subsections of this report and for the corresponding sections from the five special issue reports. The reader is referred to special issue reports for a more detailed examination of these topics; however, the main findings and conclusions of those reports are summarized in this document.

## Abbreviations

GOALS = Legislative Goals for the Education Block Grant: Have They Been Achieved at the Local Level? (Knapp, 1986)

FUNDS = Funds Allocation and Expenditures Under the Education Block Grant (Apling and Padilla, 1986)

PRIVSCH = Participation of Private School Students in Services Supported by the Education Block Grant (Cooperstein, 1986)

PARENTS = Involvement of Parents and Citizens in Local Decisionmaking Under the Education Block Grant (Blakely and Stearns, 1986)

INTERGOV = The Education Block Grant and Intergovernmental Relations: Effects at the Local Level (Turnbull and Marks, 1986)

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# PREFACE

This document is one of a series of reports resulting from SRI's National Study of Local Operations Under Chapter 2 of the Education Consolidation and Improvement Act (ECIA). Chapter 2--the first federally supported education block grant--consolidated 32 former categorical programs into a grant of funds to all school districts, to be used for any of the purposes in the preceding programs. The block grant was implemented in school districts across the nation in the 1982-83 school year, following passage of ECIA in 1981.

In response to numerous demands for information about the block grant's implementation and effects from the U.S. Congress, other federal agencies, and interest groups, and in anticipation of its own need to inform debate on reauthorization and appropriations, the U.S. Department of Education (ED) commissioned SRI International, in collaboration with Policy Studies Associates (PSA), in 1983, to study Chapter 2. The two-year investigation was to focus its data collection on the third year of implementation, the 1984-85 school year, although information was also gathered to examine the first two years of Chapter 2 and the year preceding it, the last in which programs consolidated into block grants were operating.

The SRI study did not take place in a vacuum. For various reasons--among them, the newness of the block grant mechanism in federal education aid, the lack of a formal reporting route from the local to federal levels, the fact that shifting to a block grant format significantly redistributed funds--numerous smaller investigations were mounted by federal agencies (including ED), independent researchers, and others to examine Chapter 2's implementation. This research, which we review in Section I, documented various effects in the first and second years of implementation, but also left many questions unanswered about these years and about the block grant in longer-term perspective.

Building on the foundation laid down by these earlier studies, the SRI investigation had the following purposes:

1. Describe local activities and operations under Chapter 2 in the program's third year, noting changes over the first three years of the program and changes from antecedent programs.

2. Assess the achievement of federal legislative goals, in particular, educational improvement, reduction in administrative burden, and an increase in programmatic discretion at the local level.

3. Describe how the federal block grant mechanisms (Chapter 2 funding or guidelines and state actions or interpretations) influence LEA activities.

4. Determine how state and local education agencies evaluate their Chapter 2 programs and develop options so that the Department of Education (ED) can offer technical assistance.

5. Draw lessons from Chapter 2 implementation and effects for future federal policies.

To fulfill these purposes and obtain a comprehensive description of local activities and operations under Chapter 2, the study is organized around five major topics. Each of these represents a purpose of the law or a set of issues regarding the block grant mechanisms.

- Funds allocation and expenditure (concerning the distribution of funds and types of expenditures under Chapter 2, and the influences on local spending).

- Education service delivery (concerning the nature of public school education services supported by Chapter 2 and their contribution to education improvement).

- Local program administration and decisionmaking (concerning the way in which Chapter 2 is administered and the block grant's effect on administration/paperwork burden; the nature of the decisionmaking process, the participation of parents/citizens, and implications for the exercise of local discretion; local evaluation activities).

- Participation of private school students (concerning the expenditures for services to private school students and the delivery of these services; the participation in Chapter 2 supported activities; the administration of these services).

- Intergovernmental relations (concerning the interaction between districts and the state or federal levels under Chapter 2).

The results of the study have been reported in three ways:

(1) A comprehensive report, emphasizing descriptive findings in all topic areas and summarizing the analyses in special issue reports.

(2) A series of shorter reports addressing five special issues: the achievement of legislative goals, the allocation and expenditure of funds, services to private school students, the participation of parents and citizens in decisionmaking, and intergovernmental relations.

(3) An options paper for state and local audiences regarding ways to evaluate activities supported by the block grant.

Titles and authors of all these reports are listed on the back of the title page.

Michael S. Knapp,
Project Director

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We owe much to the patience and support of various state Chapter 2 coordinators, who listened to plans for the study, made suggestions, and encouraged their districts to participate. In particular, those who sat on the Study's Advisory Panel--Weaver Rogers, Darrell Arnold, and Carolyn Skidmore--and the members of the State Chapter 2 Coordinators Steering Committee (under the leadership of Wayne Sargent and Dan Lewis) deserve mention for their constructive suggestions for the study design and their reactions to preliminary findings.

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The findings of our research synthesize the responses of many school and district staff, school board members, parents, and others at the local level. To all who responded to our questionnaires or answered interview questions, we owe the deepest gratitude--for taking the time to provide information that helps those at a greater distance understand what the block grant contributes to their school districts. Particular school district staff, who advised us during the course of the study, deserve special mention: Todd Endo, Gerald King, Alan Osterndorf, Thomas Rosica, and Kenneth Tyson.

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In the U.S. Department of Education, individuals in many parts of the agency took an interest in the study and helped focus its questions and

approach to research. The Project Officer, Carol Chelemer of the Planning and Evaluation Service in the Office of Planning, Budget, and Evaluation, shepherded the investigation through its various stages with humor, insight, and unwavering support. We much appreciated the contributions of others in the Department, among them: Janice Anderson, Robert Stonehill, Allen King, Zulla Toney, Stanley Kruger, Patsy Matthews, David Morgan, Kenneth Terrell, Gary Hanna, Kay Ringling, Lois Bowman, Lawrence Davenport, Patricia Jones, Linda Hall, Cecil Brown, Charles Blum, and Fred Graves.

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To all these people, your contributions were much appreciated.

## NOTES FOR READING TABLES

Tables in this report are generally broken out by district size category, because the enormously skewed distribution of districts nationwide may distort the reader's understanding of national estimates (the large number of very small districts, for example, means that most overall estimates are largely a reflection of these). The breakout also enables the reader to appreciate the considerable differences in block grant impact and implementation in districts of different size.

Size categories also comprise differing proportions of the nation's student population. We indicate below the number and percentage of districts falling in each size category, as well as the proportion of the nation's students represented.

Where relevant, the "very large" category has been further subdivided into urban districts and suburban county systems (which may include a moderate-sized city as well) because the characteristics and responses of these two types differ substantially.

| District Size Category (Enrollment Range) | Number (and Percentage) of Districts within Range | Proportion of Nation's Students |
|---|---|---|
| Very large<br>(25,000 or greater) | 163 (1.0%) | 25.8% |
| Urban | 92 (0.6%) | 15.8 |
| Suburban | 71 (0.5%) | 10.0 |
| Large<br>(10,000 to 24,999) | 466 (3.0%) | 17.3 |
| Medium<br>(2,500 to 9,999) | 3,027 (19.5%) | 35.1 |
| Small<br>(600 to 2,499) | 5,369 (34.6%) | 17.9 |
| Very small<br>(Less than 600) | 6,508 (41.9%) | 3.8 |
| Total | 15,533 (100%) | 100.0% |

Wherever tables are presented without subdivision into these categories, the reader may assume that the differences among categories are statistically insignificant or irrelevant to the analysis in question.

To simplify presentation, tables do not include standard errors. These and accompanying technical notes may be found in Appendix A.

Unless otherwise noted, the data presented in tables are national estimates for all districts nationwide or for subcategories of districts developed by weighting responses from the mail survey in each cell of the sample stratification grid by the inverse of the cell sampling fraction (adjusted for nonresponse). See "Technical Note," Appendix A. Telephone survey response data are not weighted estimates.

Averages (of dollars, numbers of participants, etc.) are usually represented by medians rather than means, to avoid readers being misled by the effects of the skewed distribution.

# I INTRODUCTION

This document describes the results of the National Study of Local Operations Under Chapter 2 of the Education Consolidation and Improvement Act of 1981 (ECIA), an investigation conducted for the Department of Education (ED) by SRI International and Policy Studies Associates. The study provides a comprehensive description of the activities and effects at the local level of Chapter 2, the federal education block grant, with emphasis on its third year of implementation (the 1984-85 school year). The results of the study are intended to inform the Department and other federal audiences, especially Congress as it considers the reauthorization of ECIA in 1987.

The education block grant is a particularly interesting and controversial piece of the law that created it. This chapter consolidated 32 former categorical programs--hereafter referred to as the "antecedent" programs--into a "block" of funds available to all state education agencies, and through them, to all school districts for any of the uses of the preceding programs.* This consolidation raised new possibilities and questions about the future direction of federal education policy.

Although it is still early in the history of ECIA, it is important that a comprehensive national picture of the law and its effects be developed, to inform both those that administer the law and those who must consider its reauthorization. Chapter 2 is seen by some federal policymakers and others as a significant experiment in what may become a more typical federal aid strategy in the future. Still others have voiced concern about the effects this approach may have on services for the special-needs populations that have been the traditional objects of most federal education aid over the past two decades.

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*The actual number of programs consolidated into the block grant depends on whether one considers all separate authorizations as one program. The Emergency School Aid Act (ESAA) comprises four such subparts, but is generally considered one program. See Appendix B.

The story of the education block grant at the local level is especially important to tell. There, federal aid reaches its destination and is translated into services--instruction, support activities, or whatever--and benefits--learning, staff expertise, etc. And yet, because the block grant strategy deemphasizes vertical reporting and evaluation, federal audiences have had particular difficulty in seeing how the block grant operates and what its effects are in districts and schools across the land.

In this report, we describe the block grant at the local level, emphasizing local operations in the third year of its implementation (the 1984-85 school year) but with attention to change from antecedent programs and across the 3 years of Chapter 2. First, in this introduction, we discuss the education block grant in general and existing research on it. We also present a conceptual model of the block grant and its implementation through the intergovernmental system. The introduction outlines the study's purposes, research questions, and methods.

## The Education Block Grant and Research About It

ECIA was both a reaction to past policies and a statement about the future. Since the law was enacted, the debate about Chapter 2 of that law and block grants in education has evolved from concern about the fate of prior policies to concern over the contribution of Chapter 2 (and other education block grants) to educational improvement. The evolution is continuing.

Chapter 2, the rules and regulations governing its implementation, and the "nonbinding regulatory guidance" from the Department of Education embody a different set of assumptions and priorities about federal education policy from those characterizing most earlier education laws. The principal elements can be summarized by the following changes:

- Less local programmatic direction from the federal and state levels than before.
- An enhanced role for local actors in determining how educational program resources should be used.
- Wider distribution of program benefits (including to private school children).

The vehicle for federal aid defined by these elements has been accompanied by somewhat reduced levels of funding, in aggregate, compared with what preceded Chapter 2. Although no particular funding level is implied by the block grant mechanism, the amount of money available under it has been a major influence on local responses to it.

## The Nature of Chapter 2

The education block grant's legislative goals, intergovernmental characteristics, and mechanism for delivering funds define the unique ways this vehicle for federal aid may influence the local level.

Five principal goals in the law are intended to guide the operation of the block grant in districts and schools....*

- Educational improvement. The block grant is intended to assist school districts to "improve elementary and secondary education (including preschool education) for children attending public and private schools:" [Sec. 561(a)]. Although this global goal includes a wide range of activities, it does in effect rule out many categories of expenses, such as general administration or facilities (except under special circumstances).
- Reduction of local administrative burden. The law aims to assist local educational agencies "in a manner designed to greatly reduce the enormous administrative and paperwork burden imposed on schools at the expense of their ability to educate children" [Sec. 561(a)].

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*For the text of the law, See Appendix C.

- Enhancement of local discretion. Funds are to be used "in accordance with the needs and priorities of ... local educational agencies as determined by those agencies" [561(a)]. To reinforce this message, the law adds the following stipulation regarding the funds that flow directly to districts: "Each local educational agency shall have complete discretion, subject only to the provisions of this chapter, in determining how the funds the agency receives under this section shall be divided among the purposes of this chapter..." [Sec. 566(c)].

- Responsiveness to those closest to the education of children (school staff, parents). The block grant legislation places responsibility for design and implementation of programs with local district and especially school personnel "because they have the most direct contact with students and are most directly responsible to parents..." [Sec. 561(b)]. The law emphasizes the importance of parents and school staff by requiring "systematic consultation with parents of children attending elementary and secondary schools in the area served by the local agency, with teachers and administrative personnel in such schools, and with other such groups..." [Sec. 566 (a)(4)].

- Equitable participation of private school students. In addition to the stated intention of improving education for private school students noted above, the law spells out numerous provisions that "will assure equitable participation of such children in the purposes and benefits of this chapter..." [Sec. 586(a)(1)]. In particular, the law addresses the nature of such services (e.g., that they be "secular, neutral, and non-ideological") and the relative funding for public and private school students (e.g., that expenditures for both groups shall be equal and consistent with the numbers of students served and the needs of individual children). The law is also detailed about the nature of arrangements for serving private school students, for example, by including requirements that private school officials be consulted in determining the uses of funds.

These goals imply a major shift in the way the levels of the intergovernmental system work together to implement the block grant. The law calls for these changes by declaring that state government shall have the basic responsibility for administrative oversight and by sharply curtailing the prerogatives of the federal government. At the same time, states are barred from influencing local program choices and implementation and are also urged, in the same spirit as the local level, to manage the block grant with a minimum of paperwork. Because many state agency functions rely in part on the flow of paper, this is a greater restriction than it may appear.

Complementing these federal intentions for local operations and the intergovernmental system are major changes in the mechanism of distributing funds. In all but one of the programs consolidated into Chapter 2, Title IV-B of the Elementary and Secondary Education Act (ESEA), the federal government (or in the case of two programs, state government) solicited competitive grant proposals from interested districts. By contrast, Chapter 2 distributes funds entirely on a formula allocation basis (like the former Title IV-B program). States receive funds in proportion to their population; they are required to reallocate at least 80% of it to the districts by state-generated formulas that emphasize student head count, but may adjust for various "high cost" factors (e.g., the proportion of disadvantaged students, the sparsity of the district population).

## National-Level Research on Chapter 2

The nature of the Chapter 2 law has created an information vacuum at the federal level. Because it is specifically prohibited from using normal program reporting channels to gather descriptive or evaluative data on the use of Chapter 2 funds, ED has had to rely on the limited information from state applications and evaluations, on a monitoring effort of state-level implementation, and on a few small-scale studies and analytic efforts undertaken by ED and the former National Institute of Education (currently part of the Office of Educational Research and Improvement in ED).

To meet the demand for evaluative information, other national studies have been mounted by external groups, including independent researchers, advocacy groups, and professional associations. Another government agency (the General Accounting Office) has also conducted an investigation as part of its effort to study block grants across all government agencies. These studies are listed, along with ED-sponsored research, in Appendix D, which itemizes the locus, mode, and timing of data collection in each one.

Collectively, these studies of Chapter 2 implementation provide a useful, if fragmentary, picture of early responses to the block grant. Although incomplete, this body of research is useful in two ways. Taken together, the studies approach Chapter 2 from diverse perspectives and draw together a variety of information sources. Although no one study completed to date has developed a sufficiently comprehensive data base, the research as a whole has sharpened the focus on many of the important issues surrounding Chapter 2. The research also provides an excellent source of hypotheses that can be checked against broader information bases (case-study-based research is particularly useful in this regard).

This body of research on the block grant leaves large gaps in knowledge about Chapter 2, which are part of the rationale for the National Study. First, most of the data collection in these studies has occurred in the first and second years of the program's implementation (1982-83 and 1983-84 school years) or during the planning year (1981-82 school year). Early responses are not a particularly useful indicator of long-term patterns. Second, many of the studies have concentrated on state-level implementation of Chapter 2 (e.g., Kyle, 1983; Henderson, 1983, 1985; Darling-Hammond and Marks, 1983; IEL, 1982; McLaughlin, 1982). While yielding important contextual information, research at the state level does not shed much light on local-level responses. Third, the research on the block grant at the local level is mostly derived from case studies (e.g., Kyle, 1985; Corbett et al., 1984; Rossman et al., 1985; Hastings and Bartell, 1983; Simms, 1985; Doolittle and Nathan, 1983; Henderson, 1983). Fourth, studies that have developed quantitative descriptions of block grant implementation or effects at the local level have tended to be extremely limited in scope (e.g., AASA, 1983), to be based on small samples (e.g., AASA, 1984; Council of Great City Schools, 1982-83; Jung and Bartell, 1983; Perilla and Orum, 1984), or to use large samples that are not statistically representative of the nation (e.g., GAO, 1984). A few studies have investigated aggregate fiscal effects across the nation, but once again with emphasis on the early redistributive effects (e.g., Education Commission for the States, 1982; Freis, 1983; Verstegen, 1983). Fifth, much of the research is driven by the interests and concerns of particular groups, either directly or in response to such research. Collectively, these studies bracket the range of interest-group concerns, but individually, each affords a limited perspective on the program.

## Conceptual Model

A conceptual model of the block grant and its implementation through the intergovernmental system provides a framework for investigating its implementation and effects at the local level. We present schematically in Figure I-1 an overview of the key processes and outcomes influenced by the Chapter 2 program at each level of the intergovernmental system. The scheme allows important areas of effect to be identified.

At the top of the system, federal policies--expressed in the form of the law, funding levels, minimal regulations, and nonbinding regulatory guidance--set in motion processes at the state level governing the implementation of the program. By explicit legislative intent, as well as intergovernmental dynamics, the state context influences program decisionmaking and subsequent administrative processes, which in turn determine state-level outcomes: a formula, an allocation of funds to each district, further guidance to districts regarding the use of funds, and the deployment of state-reserved funds in ways that may further benefit districts (e.g., through competitive grants, technical assistance). A parallel set of processes takes place at district level, influenced powerfully by local context, resulting in outcomes that translate federal and state policy into educational activities. Together, these processes and outcomes constitute the key dimensions of impact on local and state operations regarding which major policy issues are raised.

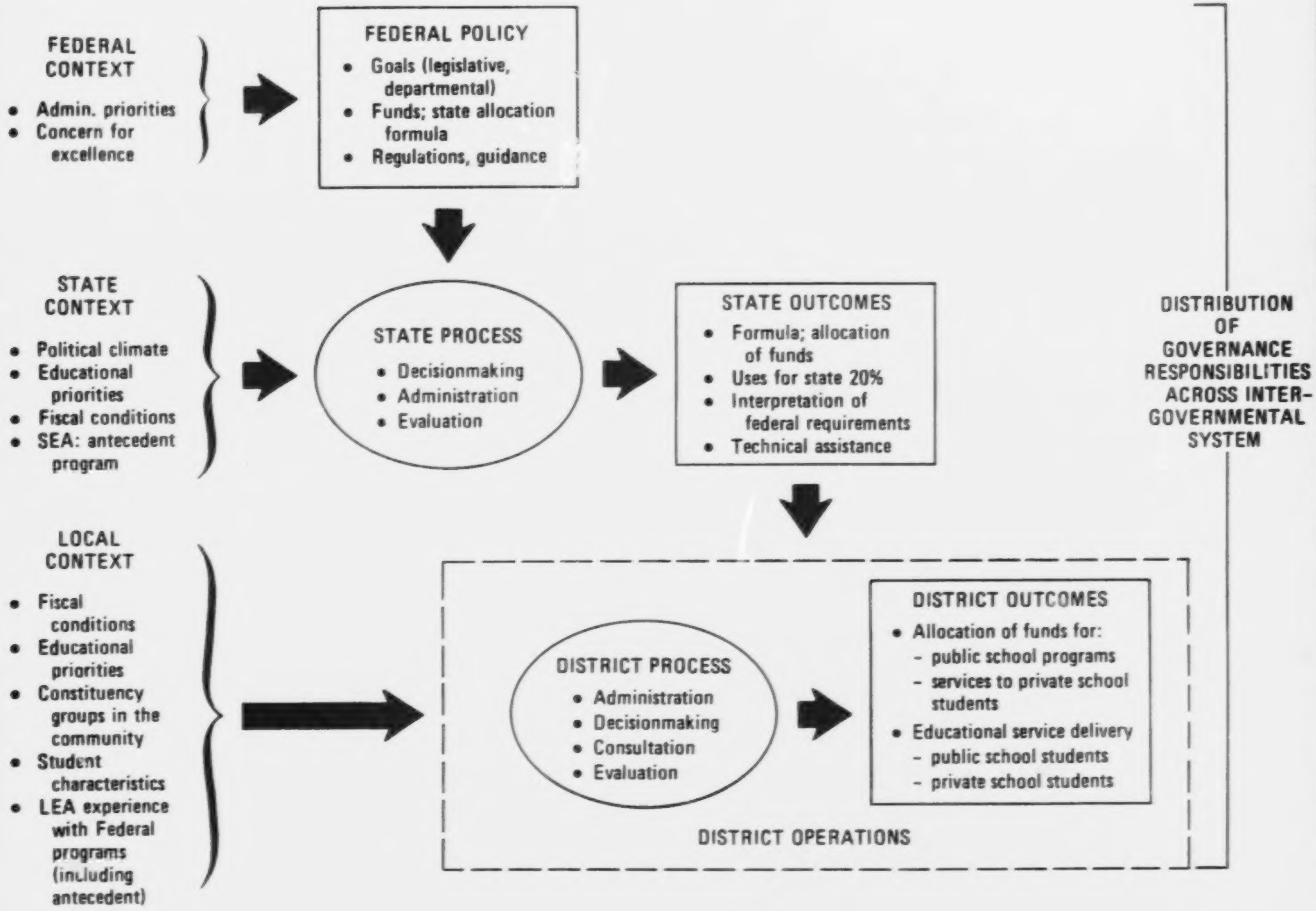
FEDERAL CONTEXT
• Admin. priorities
• Concern for excellence
FEDERAL POLICY
• Goals (legislative, departmental)
• Funds; state allocation formula
• Regulations, guidance
STATE CONTEXT
• Political climate
• Educational priorities
• Fiscal conditions
• SEA: antecedent program
STATE PROCESS
• Decisionmaking
• Administration
• Evaluation
STATE OUTCOMES
• Formula; allocation of funds
• Uses for state 20%
• Interpretation of federal requirements
• Technical assistance
LOCAL CONTEXT
• Fiscal conditions
• Educational priorities
• Constituency groups in the community
• Student characteristics
• LEA experience with Federal programs (including antecedent)
DISTRICT PROCESS
• Administration
• Decisionmaking
• Consultation
• Evaluation
DISTRICT OUTCOMES
• Allocation of funds for:
- public school programs
- services to private school students
• Educational service delivery
- public school students
- private school students
DISTRICT OPERATIONS
DISTRIBUTION OF GOVERNANCE RESPONSIBILITIES ACROSS INTER-GOVERNMENTAL SYSTEM

FIGURE I-1 MODEL OF FEDERAL, STATE, AND LOCAL INFLUENCE ON DISTRICT OPERATIONS UNDER CHAPTER 2

The process takes place over time with a significant lag between the initiation of the policy at the federal level and the formulation of each level's response. Most important, response to the block grant is a cumulative process over time. At the local level especially, change is likely to happen gradually as the new way of using and managing federal aid becomes part of local routines.

The figure also demonstrates the role of contextual forces at the state and local levels. These contribute to the variation in block grant implementation across sites--which is, in effect, an intended outcome of the block grant.

One elaboration to the model is necessary before turning to the purposes and research questions addressed by the National Study. The operation of a federal program like Chapter 2 involves the interaction of many role groups, each with differing stakes in the program. At the local level, parents, teachers, administrators, board members, and interest groups are all implicated, if not actively involved. At the state level, the governor's office, legislators and their staffs, state board of education members, and representatives of various public interests may join the array of administrators from the state education agency. The general implications for conceptualizing Chapter 2 implementation and effects is that "district" or "state" is, in reality, many groups and individuals interacting with one another. A comprehensive description of Chapter 2 implementation must consider carefully the differences in roles, stakes, and perceptions of the many types of actors.

## Study Purposes and Research Questions

The purposes of the research include:

(1) Describe local activities and operations under Chapter 2 in its third year, noting changes over the first 3 years of the program and changes from antecedent programs.

(2) Assess the achievement of federal legislative goals (educational improvement, reduction in administrative burden, enhancement of local discretion, etc.).

(3) Describe how federal block grant policy, Chapter 2 funding and regulatory features, and state actions or interpretations influence district activities. In particular, the study concentrates on fiscal effects deriving from state formulas and other factors, effects of requirements for private school participation and provisions for consultation with parents/citizens, and the relationships of intergovernmental levels under Chapter 2.

(4) Develop options for state and local evaluation of Chapter 2 programs.

(5) Draw lessons from Chapter 2 implementation and effects for future federal policies.

This report summarizes the findings of the study with respect to study purposes 1, 2, 3, and 5. A separate special issue report deals with study purpose 4; five other special reports provide greater detail on issues subsumed in the second and third purposes (titles and authors of all these reports are listed on the back of the title page).

To fulfill these purposes, the study is organized around 8 study topics and 20 research questions under these topics. The study topics and research questions are listed in Table I-1.

## Methods and Data Sources

We developed data to answer these questions from a mail survey, a telephone survey, and site visits as described below:

- A nationally representative mail survey of 1,600 districts during the middle of the 1984-85 school year, the third year of Chapter 2's implementation at the local level. Districts were selected randomly within a stratification grid defined by three variables: district size, regional location, and level of antecedent funding per pupil. District administrators responsible for coordinating Chapter 2 answered the questionnaire. Response to the survey was high: overall, 78.2% of the districts that were sent questionnaires returned them.

## Table I-1

## STUDY TOPICS AND RESEARCH QUESTIONS

### Funds Allocation and Expenditure

1. How are Chapter 2 funds distributed among districts? To what extent has the distribution changed from before Chapter 2?

2. What are the current Chapter 2 spending patterns and how do they differ across the 3 years of the program and from antecedent programs?

3. What influences current Chapter 2 spending patterns?

### Delivery of Educational Services for Public School Students

4. What kinds of educational activities does Chapter 2 support in its third year of operation and since Chapter 2 became effective?

5. What students and staff participate in the activities supported by Chapter 2?

6. In what ways (if at all) has Chapter 2 changed the public school district's educational services from what was in place before ECIA?

7. How has Chapter 2 contributed to improvement in the district's educational program?

### Local Program Administration

8. How is the Chapter 2 program administered at the local level?

9. What has been the impact of Chapter 2 on local administrative and paperwork burden?

### Local Decisionmaking

10. How are local Chapter 2 program decisions made (mechanisms of decisionmaking, who is influential)?

11. To what extent has the block grant increased local discretion in program design and implementation?

### Parent/Citizen Involvement

12. What do districts do to encourage parent or citizen participation in Chapter 2 decisionmaking?

Table I-1 (Concluded)

Parent/Citizen Involvement (Cont.)

13. What is the nature of parent/citizen involvement in Chapter 2 decisionmaking and influence on decisions?

Evaluation

14. How are school districts evaluating their uses of Chapter 2?

15. For what state and local purposes/audiences are information and evaluation needed?

Participation of Private School Students

16. What are the patterns of private school student participation in services supported by Chapter 2? Have these patterns changed from before the block grant?

17. What funds are allocated to private school students (and staff) and what kinds of services have they received under Chapter 2 (by type, in relation to public school students/staff, and in relation to antecedent program participation)?

18. What decisionmaking and administrative activities are associated with private school student and staff participation?

Intergovernmental Relations: Effects at the Local Level

19. How do state education agencies and districts interact under the education block grant?

20. How have state and federal actions shaped local perceptions of the purposes and requirements of Chapter 2 or otherwise influenced local activities under the education block grant?

- A representative telephone survey of 300 schools, chosen at random from 120 districts that were, in turn, selected randomly from all the cells of the mail survey stratification grid. Schools were selected to represent equal proportions of elementary, junior high/middle, and high schools; and, within each of these categories, equal numbers using their Chapter 2 funds for three types of purposes: computer applications, gifted-and-talented programs, and remedial or basic skills programs. Principals or staff most closely associated with the Chapter 2-supported activities at each school responded to the survey. Telephone survey data were collected toward the end of the 1984-85 school year; 91.2% of the schools chosen for the sample responded.

- Site visits to 24 school districts in 13 states, and within these districts approximately 100 public schools. The districts were a subset of the mail survey sample, chosen to reflect the principal variations in district size, regional location, and antecedent funding levels represented in the mail survey stratification grid. The choice of sites balanced a number of other selection criteria: metropolitan status, presence of a desegregation plan, fiscal condition, proportion of students educated in nonpublic schools, nature and level of interest group activity, types of activities supported by block grant funds, and relationships with intermediate units. A variety of staff at district and school level were interviewed, including Chapter 2 coordinators, superintendents, school board members, business officers, directors of curriculum and instruction, principals, teachers, and evaluators. These site visits, lasting 2 to 5 days depending on the size of the district, took place in the fall of the 1984-85 school year.

- Site visits to 8 state education agencies (in states differing from those in the first site visit sample), 24 districts within these states, and 66 private schools within the districts. These sites were selected on criteria similar to those for the initial site visit sample, but additional criteria were used to ensure variation on factors pertinent to several of the special issues addressed by the study: nature of private school component, approach to evaluation (and corresponding state requirements), and characteristic state-local relationship. At state level, we interviewed SEA officials responsible for Chapter 2, budget, other federal programs, overall instructional administration, and evaluation, as well as members of the educational policy community outside the SEA, representatives of the Chapter 2 State Advisory Committee, and officials in State private school organizations. At the local level, we interviewed the same kinds of individuals at the district office as in the first site visit sample; we also included private school officials (e.g., principals, local representatives of private school organizations) and community members (e.g., parents, advocacy group members). Visits to state education agencies took 1 to 2 days and those to school districts from 2 to 5 days as in the first visit sample; these visits were made in the spring of the 1984-85 school year.

The types of data collected from these four sources were coordinated so that what we learned from one could be related to findings from another. Mail survey items, for example, were asked as part of the interviews done during case studies. Other interview questions probed more deeply the information gained from the mail survey. The telephone survey explored the same topics for selected Chapter 2-supported activities at the school level.

Further information on the study's research methods appears in Appendix E.

# PART ONE

## BLOCK GRANT FUNDS AND THE ACTIVITIES THEY SUPPORT AT THE LOCAL LEVEL

In this part of the report, we provide an overview of the Chapter 2 block grant at the local level, concentrating on the funds themselves and the activities these funds support. Separate sections describe findings regarding:

- The distribution of Chapter 2 funds among districts, from both state formula and state discretionary sources (Section II).
- The types of activities supported by the block grant, at present and in contrast with antecedent programs (Section III).
- The patterns of local expenditures and factors associated with them (Section IV).

We summarize the highlights of our findings in this part below, by these three sections.

### The Distribution of Chapter 2 Funds Among States and Districts

Our analyses identified the total amounts of funding available to the local level under the block grant, the amounts districts typically receive, and the degree of change from antecedent programs.

Total Amounts of Funding Available to the Local Level--We found that:

- The total amount of money available to districts under the block grant (in 1984-85) is $350,295,000, which represents approximately 16% less than the aggregate local funding received by districts from antecedent programs in the last year before Chapter 2.

- Virtually all (98.4%) of these funds reach districts through state formula allocations; the remainder comes in the form of competitive grants or other reimbursements out of the states' Chapter 2 set-asides (fewer than 2% of districts nationwide receive this state "discretionary" money).

What Districts Receive Under Chapter 2--What a district receives per year under the block grant depends principally on its enrollment size (the most significant factor in each state formula).

- Annual allocations range from an average of nearly $400,000 in districts with enrollments of 25,000 students or more to approximately $2,000 in districts with fewer than 600 students. The great majority of districts receive less than $50,000 per year; three-fifths receive less than $10,000.
- The resources Chapter 2 provides districts are very modest: between $7.00 and $9.00 per pupil, on average. This figure may vary to about twice or as little as half that amount, as a result of "high cost" factors in each state formula, but as interpreted by the states the funding mechanism tends to prevent greater variation.

Change in Funding Since Antecedent Programs--Most districts (three-quarters of all districts nationwide) gained funds relative to what they had received under antecedent programs.

- Those that had received the most before (e.g., the largest districts) lost heavily.
- Smaller districts were especially likely to gain under the block grant and to gain the most in proportional terms (even though this meant receiving $4,000 instead of $2,000 per year).
- The block grant has brought about no obvious shifts in funding away from concentrations of economically disadvantaged children, except in the largest urban districts.

## What the Block Grant Supports at the Local Level

Types of Activities Supported--The most prevalent uses of the block grant are for computer applications and support for libraries and media centers (in approximately three-quarters and two-thirds of all districts, respectively), followed by curriculum or new program development and staff development (each in approximately a quarter of all districts), and finally by instructional services or student support services (each in about one-sixth of the nation's school districts).

- Only a small percentage of districts put Chapter 2 funds into uses such as administration or evaluation that are unrelated to instruction or instructional support.
- Between a quarter and a third of districts that have implemented a desegregation plan of some kind over the last 5 years used Chapter 2 funds to support desegregation-related activities (which may include any of the above-mentioned types of activities).

Types of Students Served--Regarding the level and types of students served by Chapter 2 funds, we found that:

- Districts are equally likely to devote the funding to elementary, junior high/middle, and senior high school levels.
- Although activities are often targeted to particular types of students, no one group predominates across all districts. There are some variations by type of activity, however; gifted and talented students, for example, are twice as likely to be the focus of curriculum development supported by Chapter 2 as economically/educationally disadvantaged students. Across all types of activities supported by the block grant, a majority of districts indicate that these activities serve all types of students.

Change in Activities Supported Since Antecedent Programs--Regarding changes in activities supported over time, our analyses indicate that:

- A larger percentage of districts are supporting more kinds of activities, on average, under Chapter 2 (as of the 1984-85 school year) than under antecedent programs; these increases are matched or exceeded by the numbers of students represented by these districts.
- These increases have occurred gradually over the 3 years of the block grant; each year, more districts have been willing to venture into new areas.

## Expenditure Patterns and the Explanations for Them

We examined expenditures both in programmatic terms--that is, by type of activity supported by the block grant--and by types of resource purchased with Chapter 2 funds.

Our analyses suggest the following broad expenditure patterns under Chapter 2:

- The larger the district (and, hence, the more dollars to work with), the more diversified the district's "portfolio" of program investments. Smaller districts tend to concentrate their block grant resources in only one or two areas.
- Overall, support for computer applications and libraries or media centers (implying investment in equipment or material resources) consumes a greater proportion of local block grant funds (approximately three-fifths of total local Chapter 2 funding in 1984-85) than support for instructional or student support services (which imply investment in staff resources) or staff and curriculum development (which imply investments in staff or consultant resources).
- Investments in salaries support, for the most part, staff who provide direct services to students (teachers, counselors, aides). Only a small percentage of total Chapter 2 funds (approximately 5%) are used to support administrative costs.

Regarding the major influences on expenditure decisions, we found that:

- The absolute amounts of money received under Chapter 2, commitments to antecedent program staff or purposes, and local educational priorities are driving forces behind expenditure decisions. Change in funding levels from what was received under antecedent programs also plays a role, but primarily where losses were substantial (as in the largest urban districts) or where gains have been significiant.
- Uncertainties about audits and the future of Chapter 2 funding exert a weak influence, if any, on Chapter 2 expenditure decisions. Where these uncertainties are important considerations, local expenditures favor equipment and material purchases over other investments, such as staff.

- Neither state reform priorities and mandates nor national reform recommendations appear to have had a major influence on expenditure decisions. However, Chapter 2 funds have frequently been used to address certain widely held improvement priorities (e.g., related to increasing instruction in mathematics, science, or computer literacy, and to developing programs based on effective schools research).

## II DISTRIBUTION OF CHAPTER 2 FUNDS AMONG STATES AND DISTRICTS*

In this section we summarize the way Chapter 2 funds flow to school districts across the nation and, to the extent that it affects local allocations, the flow of funds across states. Because state education agencies allocate Chapter 2 dollars to districts by formulas that heavily emphasize enrollment, we pay particular attention to the effects of district size (and other characteristics influencing formula distributions) on the amount of Chapter 2 funds districts receive. We also analyze the changes from the pattern of distribution under antecedent programs and document the extent and nature of redistribution that has taken place under the block grant.

### Summary

The analyses reported in this section support the following findings. First, regarding the funds available to the local level, we found that:

(1) The total amount available to districts in the 1984-85 school year through state formula allocations is $350,295,000. This represents an approximately 16% drop from what the "antecedent programs" (those consolidated into Chapter 2) made available to districts in the last year before the block grant (the 1981-82 school year). An estimated $5,770,968 of the Chapter 2 state "set-asides" (the block grant funds distributed to each state which were reserved for state use) was reallocated to districts in the 1984-85 school year in the form of competitive grants or other reimbursements, thus augmenting the formula allocations somewhat.

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* This section is adapted from the corresponding sections of another report from the National Study (Apling and Padilla, 1986).

(2) Only a small percentage (1.6%) of all districts received state set-aside funding (also referred to as "state discretionary funding"). The aggregate amount of state set-aside funding reallocated to districts has declined by approximately 25%, over the 3 years of the block grant, as state carryover funding from antecedent programs has been depleted and as short-term desegregation assistance has ended.

Second, regarding the amounts of funding districts receive under the block grant, we found that:

(3) The funds districts receive are primarily a reflection of their enrollment size. Annual allocations (including state discretionary funding) range from more than $6,000,000 to less than $100. The great majority of districts (more than 90%) receive less than $50,000 a year under Chapter 2. Approximately three-fifths of all districts receive less than $10,000.

(4) The amounts received under the block grant provide between $7.00 and $9.00 per student, on average, in all size categories. State formulas, that adjust for concentrations of "high-cost" children (e.g., the disadvantaged or limited English proficient, children undergoing desegregation, children in sparsely populated areas) may change this per pupil figure to about twice the average or reduce it by half, depending on the way high-cost factors apply to the district.

(5) Compared with the total costs of educating students (about $3,000 per child for the districts in our sample) or of services under larger targeted federal programs (e.g., nearly $400 per child in the Chapter 1 program), the resources provided by the block grant are modest.

Third, with regard to the change in funding since the time of antecedent programs, we found that:

(6) With two exceptions (ESEA Titles IV-B and IV-C), the antecedent programs were heavily concentrated in the largest districts, especially those in urban areas. (Title IV-B was spread uniformly across nearly all districts; Title IV-C provided funds to a quarter or more of the districts in all size categories.)

(7) On average, districts that had received the most under antecedent programs lost large amounts of funding while all others tended to gain. Overall, approximately three-quarter of the districts in the nation gained funds. This proportion was especially high among smaller and medium-sized districts, which tended relatively to gain the most, nearly doubling the amounts they had received before.

(8) With the change to the block grant, total funding tended to shift from larger, more populated states to those with fewer students.

(9) Under the block grant, there has been no obvious shift of funding away from higher concentrations of poor children, except in the largest urban districts.

## Funds Available to the Local Level

To put our analyses in context, we summarize in Table II-1 the total amounts of funds available to districts under antecedent programs (in the 1981-82 school year) and under Chapter 2 (in the 1984-85 school year) for both public and private school students. The table demonstrates several points about the block grant mechanism by contrast with what preceded it:

- Under either funding mechanism, the great majority of the funds, slightly more than 80%, are available for direct use by districts, once the inapplicable portions of the Chapter 2 appropriation are removed (e.g., the Secretary's Discretionary Fund).
- Overall, the total amount of funds available to districts has dropped by approximately 16% (this drop occurred in the first year of the block grant; in the subsequent two years, it was funded at approximately the same level).
- Both the total amount and the proportion available to state education agencies (SEAs) have increased slightly under the block grant (individual SEAs, however, may have received less).

The table also notes the extent to which SRI's estimates of the funds available to districts deviate from the true aggregate figures; while slightly underestimating the amounts available in either year, the results of our mail survey paint an accurate picture for the purposes of this study.

The analyses that follow concentrate on the funds directly available to districts. This approach slightly understates the total of services districts may receive under either funding mechanism, especially antecedent programs, a sizable portion of the funds from which supported various services provided by SEAs or agencies contracting with them: technical assistance, training services, curriculum consultation, and other forms of assistance to districts' instructional programs. Although some observers suggest that these kinds of services have diminished under Chapter 2 (e.g., McLaughlin, 1982), our study does not have comprehensive information on what states did with their share of block grant funds.

Table II-1

## FUNDS AVAILABLE TO LOCAL EDUCATION AGENCIES UNDER ANTECEDENT PROGRAMS AND CHAPTER 2 (THROUGH FORMULA ALLOCATIONS)

| | Antecedent programs FY 81 | Chapter 2 FY 84 |
|---|---|---|
| Total federal appropriations | $536,378,000 | $479,420,000 |
| Funds not available for use by SEAs or LEAs: | | |
| Secretary's fund | (25,446,000) | (28,765,000) |
| Trust territories (est.) | (3,940,000) | (4,800,000) |
| Puerto Rico (est.) | (9,126,000) | (8,000,000) |
| Funds distributed to states[+] | 497,866,000 | 437,855,000 |
| State set-asides, grants to IHEs or other contracting agencies (est.) | (81,800,000)[*] | (87,560,000)[**] |
| Remaining funds distributed to LEAs through formula allocations (for public and private school students) | 416,066,000 | 350,295,000 |
| SRI estimate of funds distributed to LEAs based on mail questionnaire sample | 403,154,800 | 344,992,000 |
| Services for public school students | ____[++] | 323,307,462 |
| Services for private school students | ____[++] | 21,684,538 |
| (Degree to which SRI estimate deviates from aggregate figures) | (-3.1%) | (-1.5%) |

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[*] Based on estimates in Henderson, 1985.

[**] A small proportion of this amount is re-allocated to districts in the form of state discretionary grants. See discussion in text.

[+] Includes the 50 states plus the District of Columbia.

[++] Unavailable.

Some of the state funds set aside under the block grant may reach districts in the form of direct grants--either through grant competitions or as subsidies to compensate districts for losses from the antecedent programs as in the case of desegregating districts in some states, which received extra funds in the first and second years of the block grant to help maintain programs formerly funded by the Emergency School Aid Act (ESAA). This fact means that the figures in Table II-1 need to be slightly adjusted to represent the true amount of funding available to districts:

| | |
|---|---|
| Total funds available to districts from formula allocations in 1984-85 (SRI estimate) | $344,992,000 |
| Total state discretionary grants in 1984-85 reported by districts (SRI estimate) | $ 5,770,968 |
| | $350,762,968 |

The total amount allocated to districts by states through discretionary grants has declined somewhat across the 3 years of the block grant, (see Table II-2) reflecting primarily the fact that some grants were meant as short-term support while districts adjusted their desegregation programs in the first few years of Chapter 2 implementation. State discretionary grants also may have been larger in the first 2 years of Chapter 2 because SEAs still had some carryover funds from the last year of antecedent programs.

Table II-2

TOTAL STATE CHAPTER 2 DISCRETIONARY GRANTS REPORTED BY DISTRICTS FOR THE THREE YEARS OF THE BLOCK GRANT

| School year | National Estimate of total state grant funding | Number of states making Chapter 2 discretionary grants* |
|---|---|---|
| 1982-83 | $7,500,450 | 26 |
| 1983-84 | $7,614,795 | 23 |
| 1984-85 | $5,770,968 | 22 |

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*Based on district reports of funds received.

The total amount available to districts under the block grant includes funding for services to both public and private school students. Thus, to understand what was potentially available for districts to use for their own students, one must adjust the aggregate figures, as shown in Table II-1. (A later section in this report discusses the amounts of funding used to serve private school students.)

## Amount of Funds Districts Receive

Table II-3 shows the average amount of Chapter 2 funding that districts in different size categories received (from formula and state discretionary sources) in the 1984-85 school year. Allocation of formula funds is based on state-determined formulas, which factor in enrollment and often adjust for high costs associated with educating certain groups of children (e.g., the disadvantaged, handicapped, or limited English proficient; students undergoing desegregation; students living in sparsely populated areas). Discretionary funds are distributed by states to selected districts through a separate process, as explained above. The total Chapter 2 funding for a district is the sum of these two allocations. The table shows the vast range in formula or "flow-through" funds. Since local enrollment is the predominant factor in all state formulas, it is not surprising that allocations of formula funds closely follow district size.

Table II-3 also shows that the additional funds from state discretionary sources have little effect on the total amount received under the block grant, even for the nation's largest districts. The great majority of districts in all size categories do not receive these state discretionary funds. Only an estimated 1.6% of all districts did so in school year 1984-85 (larger districts are more likely to receive these funds; approximately one-fifth of the very large districts received these grants in 1984-85).

## Table II-3

## AVERAGE FORMULA AND TOTAL CHAPTER 2 FUNDING, BY SIZE OF DISTRICT (1984-85)

| District Size (Enrollment) | Median formula funds | Median total funds* |
|---|---|---|
| Very large (25,000 or more) | $397,587 | $399,709 |
| Urban | 451,385 | 451,385 |
| Suburban | 310,301 | 341,704 |
| Large (10,000 to 24,999) | 104,000 | 107,212 |
| Medium (2,500 to 9,999) | 29,602 | 29,823 |
| Small (600 to 2,499) | 9,000 | 9,000 |
| Very small (under 600) | 2,036 | 2,036 |
| All districts | 6,422 | 6,422 |

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[*] The total Chapter 2 funds received by districts = formula allocation + state discretionary funding (if any).

The pattern presented in Table II-3 can also be summarized by considering the number and proportion of districts receiving various amounts of funding. Local Chapter 2 funding ranges from over $6,000,000 in the largest districts to less than $100 in the smallest, as shown in Table II-4. It is clear from the table that a large majority (over 90%) of the nation's school districts receive less than $50,000 per year from Chapter 2 and that more than 60% receive less than $10,000.

In addition to the absolute size of Chapter 2 allocations, it is useful to consider the amounts per pupil that Chapter 2 provides to school districts. As Table II-5 shows, Chapter 2 provides between $7 and $9 dollars, an average, per pupil. State formulas may adjust the amount to approximately half or twice this figure, depending on the degree to which high-cost factors apply to a given district. This is not a large amount of money, with or without these adjustments, when one compares the figure to what it costs to educate a child (about $3,000 annually for the districts in our sample) or what districts spend per child under other federal programs (districts may receive nearly $400 per child to provide compensatory education through the Chapter 1 program, for example).

The per pupil amount received under Chapter 2 varies slightly by size of district. Larger urban and very small districts receive more money per pupil than do districts of other sizes. This reflects the extra compensation that most state formulas provide for high-cost children, who tend to be concentrated in larger urban areas, and state adjustments for sparse population, which would benefit very small districts.

## Gain or Loss of Funds Under the Block Grant

The block grant radically changed the antecedent-program allocation mechanism and, as a result, the distribution of funds. The eight largest of these programs, which accounted for more than 99% of all antecedent funding

Table II-4

## AMOUNT OF FUNDING RECEIVED UNDER CHAPTER 2, BY SIZE OF BLOCK GRANT ALLOCATION

| Amount of Chapter 2 funding received in 1984-85 | Number of districts | Percentage of districts |
|---|---|---|
| More than $1,000,000 | 20 | 0.1 |
| $500,000 to $1,000,000 | 44 | 0.3 |
| $100,000 to $499,000 | 396 | 2.7 |
| $50,000 to $99,999 | 791 | 5.3 |
| $25,000 to $49,999 | 1,522 | 10.3 |
| $10,000 to $24,999 | 3,254 | 21.9 |
| $5,000 to $9,999 | 2,578 | 17.4 |
| $2,500 to $4,999 | 2,572 | 17.3 |
| $1,000 to $2,499 | 2,459 | 16.6 |
| Less than $1,000 | 1,209 | 8.1 |
| Total | 14,845* | 100.0 |

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[*] This number is slightly less than the total number of districts (15,533) because of missing data.

## Table II-5

## AVERAGE AMOUNT OF DISTRICT CHAPTER 2 FUNDS PER PUPIL, BY SIZE OF DISTRICT

| District Size (Enrollment) | Amount of 1984-85 Chapter 2 funds per pupil | | | Percentage of students nationwide | Percentage of national Chapter 2 funding |
|---|---|---|---|---|---|
| | 10th percentile | Median | 90th percentile | | |
| Very large (25,000 or more) | $6.40 | $8.19 | $14.65 | 26 | 32 |
| Urban | 6.78 | 9.19 | 15.88 | 16 | 22 |
| Suburban | 5.55 | 7.63 | 9.82 | 10 | 10 |
| Large (10,000 to 24,999) | 5.23 | 7.16 | 10.39 | 17 | 16 |
| Medium (2,500 to 9,999) | 4.08 | 6.85 | 10.99 | 35 | 30 |
| Small (600 to 2,499) | 4.57 | 7.42 | 12.71 | 18 | 17 |
| Very small (under 600) | 6.00 | 8.96 | 15.80 | 4 | 6 |
| All districts | 4.98 | 7.89 | 15.80 | 100 | 100 |

in 1981-82, are listed in Table II-6. Table II-7 summarizes the distribution pattern for these eight programs across district size categories. Several features of the distribution are quickly apparent:

- ESEA Title IV-B was spread fairly uniformly across all size categories; virtually all districts participated in it.
- ESEA Title IV-C funding reached a substantial proportion of districts in all size categories--approximately a quarter or more of all districts--except in the smallest districts.
- Other heavily funded programs--ESAA and, to a lesser extent, Career Education, Basic Skills Teacher Corps, and Teacher Centers--were concentrated heavily in the largest districts, among which a quarter to a half participated in these programs.
- Other programs shown in the table were not very prevalent in any size category, although larger districts were more likely to have them than others. (The same pattern applies in an even more extreme form to the remaining antecedent programs omitted from the table.)
- Large urban districts, which arguably had the greatest concentration of special educational needs, benefited more from the antecedent programs than any other category of district. Three-fifths or more of them had ESAA, Title IV-C, and Title IV-B approximately one-quarter to one-third had Career Education or Teacher Corps projects; they were four times as likely as other types of districts to have Teacher's Centers.

Except for ESEA Title IV-B, which went to virtually all districts, the antecedent programs were awarded on a competitive basis. Accordingly, the funds went to a selected few. As the pattern in the table demonstrates, the largest districts were likely to be very successful at attracting these grants, while smaller districts were less so (except under ESEA Title IV-C in some states, where half or more of the districts received one or another kind of IV-C grant).

The redistributive effect of the block grant was simple and profound: on average, districts that had received the most under antecedent programs (very large urban districts) lost large amounts of funds while all other size categories gained. Smaller districts were likely to gain the most in proportional terms, nearly doubling the amounts (on average) that they had received before. This pattern appears in Table II-8.

Table II-6

EIGHT LARGEST ANTECEDENT PROGRAMS AND THEIR FUNDING LEVELS IN THE 1981-82 SCHOOL YEAR.

| Antecedent Program (Purpose) | Total amounts received by districts in 1981-82 | Percentage of total antecedent program funding in 1981-82 |
|---|---|---|
| ESEA, Title IV-B (Library support) | $134,535,311 | 33.3 |
| ESEA, Title IV-C (Innovative practices) | 63,135,066 | 15.7 |
| ESAA* (Desegregation assistance) | 145,296,973 | 36.0 |
| Career Education (Introduction to the world of work) | 7,408,575 | 1.8 |
| ESEA, Title II (Basic skills improvement) | 29,339,121 | 7.3 |
| ESEA, Title IX, Part A (Gifted and Talented) | 4,891,879 | 1.2 |
| Teacher Corps (Collaborative staff development, districts and colleges of education) | 7,452,278** | 1.8 |
| Teacher Centers (teacher training and support) | 6,200,081 | 1.5 |
| Total: | 398,260,622 | 98.7 |

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[*] Subsequently ESEA, Title VI, when the Emergency School Aid Act (ESAA) was subsumed by the Elementary and Secondary Education Act.

[**] An approximately equivalent amount was received by institutes of higher education to support their portion of Teacher Corps activities.

Table II-7

DISTRIBUTION OF EIGHT LARGEST ANTECEDENT PROGRAMS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts in each size category that received funds in 1981-82 under the following antecedent programs: | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | ESEA IVB | ESEA IVC | ESAA | Career Education | Basic Skills | Gifted and Talented | Teacher Corps | Teacher Centers |
| Very large (25,000 or more) | 95 | 63 | 48 | 30 | 25 | 12 | 22 | 10 |
| Urban | 96 | 71 | 60 | 23 | 23 | 9 | 32 | 16 |
| Suburban | 94 | 54 | 32 | 40 | 28 | 15 | 10 | 3 |
| Large (10,000 to 24,999) | 96 | 47 | 12 | 22 | 5 | 10 | 5 | 4 |
| Medium (2,500 to 9,999) | 96 | 33 | 7 | 11 | 5 | 4 | 0.4 | 1 |
| Small (600 to 2,499) | 96 | 23 | 2 | 8 | 3 | 4 | 1 | 1 |
| Very small (under 600) | 87 | 9 | 3 | 4 | 7 | 1 | 0 | 0 |
| All districts | 92 | 20 | 4 | 7 | 5 | 3 | 0.7 | 0.8 |

## Table II-8

## AVERAGE FUNDING FROM ANTECEDENT PROGRAMS (1981-82) AND CHAPTER 2 (1982-83), BY SIZE OF DISTRICT

| District Size (Enrollment) | Median antecedent funds (1981-82) | Median Chapter 2 funds* (1982-83) | Percent Change |
|---|---|---|---|
| Very large (25,000 or more) | $352,481 | 382,716 | +9 |
| Urban | 543,923 | $433,100 | -20 |
| Suburban | 250,281 | 329,171 | +32 |
| Large (10,000 to 24,999) | 70,737 | 94,233 | +33 |
| Medium (2,500 to 9,999) | 17,617 | 28,410 | +61 |
| Small (600 to 2,499) | 4,946 | 8,841 | +79 |
| Very small (under 600 | 1,399 | 1,972 | +41 |
| All districts | 4,706 | 6,532 | +39 |

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* Including both formula and state discretionary funds.

Not all districts gained or lost the same amount or proportion of funding. To examine these kinds of differences, we created the following categories of loss or gain in funds:

- Gained more than 75%
- Gained between 26% and 75%
- Gained between 5% and 25%
- Little loss or gain (± 5%)
- Lost between 5% and 25%
- Lost between 26% and 75%
- Lost more than 75%

Table II-9 shows the proportion of districts in each size category that fell into each of these groupings. Overall, approximately three-quarters of the districts in the nation gained funds; this proportion was especially high for smaller and medium-sized districts. Very large urban districts lost funds in the greatest numbers; more than half of them (and nearly all of the districts in this category that had received desegregation assistance funding through the ESAA program) had less funding under the block grant than before. However, there were a substantial number of gainers in all size categories, as the table demonstrates.

The shift in funding mechanism had the effect of redistributing funding among states. Reflecting the composition of their pool of districts, states sometimes gained considerable funding under the block grant, but more often received fewer funds, as Table II-10 shows. The chief explanation for this change rests with the placement of former ESAA districts; the states with these are indicated in the table with asterisks. Another explanation for the change is that dollars were shifted from concentrations of student population to states with a smaller proportion of the nation's students.

There has been concern and some evidence (e.g., Verstegen, 1983) that the block grant moved dollars from poor students to others. Analyses presented in another report from this study (Apling and Padilla, 1986) demonstrate that across all districts there is no obvious shift in funding

Table II-9

DISTRICTS THAT LOST AND GAINED FUNDING UNDER CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts that had ... | | | | | | |
|---|---|---|---|---|---|---|---|
| | Greater than 75% gain | 26-75% gain | 5-25% gain | Little loss or gain | 5-25% loss | 26-75% Loss | Greater than 75% loss |
| **Very large** (25,000 or more) | 32* | 12 | 8 | 5 | 15 | 23 | 6 |
| **Urban** | 26 | 11 | 8 | 3 | 13 | 29 | 11 |
| **Suburban** | 40 | 12 | 8 | 7 | 17 | 15 | 0 |
| **Large** (10,000 to 24,999) | 47 | 15 | 8 | 3 | 6 | 18 | 3 |
| **Medium** (2,500 to 9,999) | 50 | 19 | 5 | 4 | 5 | 14 | 4 |
| **Small** (600 to 2,499) | 51 | 20 | 8 | 3 | 4 | 13 | 2 |
| **Very small** (under 600) | 52 | 11 | 10 | 6 | 3 | 10 | 8 |
| **All districts** | 51 | 16 | 9 | 4 | 4 | 12 | 5 |

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*Rows may not sum to 100% because of rounding error.

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Table II-10

STATE GAIN OR LOSS OF FUNDS UNDER CHAPTER 2

| Substantial Gain (Greater Than 10%) |  |
|---|---|
| Alaska | 30.7% |
| Nevada | 28.6 |
| Wyoming | 25.4 |
| Kentucky | 19.9 |
| Minnesota | 15.4 |
| North Dakota | 12.1 |
| West Virginia | 11.3 |

Represents 7% of nation's Students

| Slight Gain (+1% through +10%) |  |
|---|---|
| Maryland | 9.2% |
| South Dakota | 9.1 |
| Oklahoma | 7.9 |
| Oregon | 7.8 |
| Iowa | 6.6 |
| Arkansas | 5.0 |
| Florida* | 3.9 |
| Kansas | 3.3 |
| New Hampshire | 3.1 |
| Pennsylvania | 3.1 |
| Utah | 2.8 |
| Texas* | 1.5 |

Represents 24% of nation's Students

| Slight Loss (0% through -10%) |  |
|---|---|
| North Carolina | -3.4% |
| South Carolina | -3.5 |
| Illinois | -3.7 |
| Colorado | -6.6 |
| Massachusetts | -6.6 |
| Idaho | -7.0 |
| Tennessee | -9.2 |

Represents 15% of nation's Students

| Substantial Loss (Greater Than -10%) |  |
|---|---|
| Montana | -10.5% |
| Arizona | -10.7 |
| Maine | -11.2 |
| Michigan* | -11.2 |
| Georgia* | -12.4 |
| New Jersey* | -13.2 |
| Virginia | -16.0 |
| Hawaii | -16.3 |
| Alabama* | -17.9 |
| Ohio* | -19.2 |
| Indiana* | -20.3 |
| Vermont | -20.9 |
| Rhode Island | -20.0 |
| Nebraska | -23.2 |
| California* | -23.8 |
| Washington* | -23.8 |
| New Mexico | -24.1 |
| Louisiana* | -25.9 |
| Connecticut* | -26.9 |
| Mississippi* | -31.1 |
| New York* | -35.0 |
| Wisconsin* | -35.2 |
| Missouri* | -49.3 |
| District of Columbia | -56.9 |
| Delaware* | -58.9 |

Represents 54% of nation's Students

---

*States that received more than 25% of their Fiscal Year 1981 funds from the Emergency School Aid Act (ESSA).

Source: Adapted from Henderson (1985).

away from higher concentrations of poor children. However, the finding does not apply to the largest urban districts. In this size category, a significantly greater proportion of the highest-poverty districts lost funding as compared with those having the smallest concentrations of poor students.

# III WHAT THE BLOCK GRANT SUPPORTS AT THE LOCAL LEVEL

The law and regulations governing Chapter 2 funds permit districts to use the funds received under the block grant to address practically the full range of educational needs encountered at the local level. Our mail survey and site visit data allow us to describe the overall patterns of use, summarize the way these uses are distributed by grade level and among types of students, and document change in these patterns over time (in comparison with antecedent programs and across the 3 years of the block grant). We present an overview of these results in this section. Each type of activity is described more specifically in subsequent sections of the report.

## Summary

The analyses described in this section support the following findings. First, with regard to the types of activities support by Chapter 2 funds, we found that:

(1) Computer applications and support for libraries and media centers are favored by the largest proportion of districts, approximately three-quarters and two-thirds respectively. These districts comprise approximately four-fifths of the nation's student population.

(2) A quarter of all school districts (representing nearly half of the nation's student population) use Chapter 2 funds for curriculum or new-program development. Approximately the same percentage of districts devote some or all of their block grant funding to staff development.

(3) One-sixth of all school districts (comprising a third of the nation's students) put some or all of their Chapter 2 funds into student support services. The same pattern holds for instructional services (e.g., compensatory education programs, gifted and talented programs).

(4) Chapter 2 funds support desegregation-related activities (which may be part of the activity categories noted above) in 29% of all districts that have implemented some kind of plan in the last 5 years to desegregate schools or reduce racial isolation.

(5) Only a small percentage of districts put Chapter 2 funds into uses such as administration (in 6% of all districts) or evaluation (in 1%) that are unrelated to instruction or instructional support (e.g., counseling, library services, training).

(6) Larger districts tend to spread their block grant funds among more activity areas than smaller districts.

Second, with regard to the grade levels served by Chapter 2, our analyses demonstrate that:

(7) Activities supported by the block grant are spread fairly evenly across all grade levels; districts are as likely to apply their funding to activities in elementary, junior-high/middle, or senior high school grades. (This may mean, in a given district, that certain grade levels get served one year, others the next.)

Third, with regard to the types of students served by block grant funds, our findings can be summarized as follows:

(8) Although activities supported by the block grant are often targeted to particular types of students, no one group predominates across all districts. There are some important differences, however, by type of activity:

    (a) Curriculum (or new-program) development is aimed disproportionately at the needs of gifted and talented students.

    (b) Instructional services serve disadvantaged students and, to a lesser extent, handicapped students more frequently than other groups. Instructional services are targeted to limited English-proficient students twice as often as are other activities.

(9) In addition to serving particular groups, respondents typically indicate that what they do in each activity category serves "all types of students."

Fourth, our findings about the change in activities supported by Chapter 2 compared with antecedent programs are as follows:

(10) By comparison with what occurred under antecedent programs, a larger percentage of districts are supporting more kinds of activities, on average, under Chapter 2. Computer applications have increased more than threefold (by the 1984-85 school year); staff development and instructional services are supported twice as often. Support for libraries and media centers is the only activity area supported by fewer districts under the block grant.

(11) The increase in proportion of districts supporting each activity area is matched or exceeded by the percentage of the nation's students included within these districts.

Fifth, with regard to change in activities supported by Chapter 2 over the 3 years of the block grant, we found that:

(12) The pattern of change from antecedent programs has happened gradually over the 3 years of the block grant. An increasing percentage of districts have become willing with each school year to depart from prior uses of funds.

## Types of Activities Supported by the Block Grant

We have divided educational activities supported by the block grant into six main categories:

- Computer applications: any use of Chapter 2-supported computer hardware and/or software.
- Support for libraries, media centers, and other school departments: materials and equipment, other than computer hardware or software, purchased with Chapter 2 funds.
- Curriculum or new-program development: any use of Chapter 2 funds to create or elaborate curricula or new programs.
- Staff development: Chapter 2-supported inservice or other training activities for teachers or other staff.
- Student support services: Chapter 2 support for any noninstructional direct student service such as counseling, assessment, or dropout prevention.
- Instructional services: Chapter 2 support for any other instructional program, such as compensatory, bilingual/ESL, or gifted and talented programs.

The incidence of these across all districts appears in Table III-1.

## Table III-1

## DISTRIBUTION OF BLOCK-GRANT-SUPPORTED ACTIVITIES ACROSS DISTRICTS AND STUDENTS

| Educational Activity Categories | Percentage of districts nationwide | Percentage of students nationwide in these districts |
|---|---|---|
| Computer applications | 72 | 82 |
| Support for libraries, media centers | 68 | 78 |
| Curriculum or new program development | 25 | 44 |
| Staff development | 27 | 55 |
| Student support services | 15 | 34 |
| Instructional services | 16 | 33 |

Because the incidence of activities across districts does not reveal how they are distributed among students, we show in Table III-1 the proportion of the nation's student population that falls within the districts using Chapter 2 for each type of activity. (We do not assume that all students within these districts benefited from the activity in question, but merely imply that these students potentially had access to the activities.) The inclusion of student data in this table paints a somewhat different picture of the way Chapter 2's benefits are distributed; for example, although approximately one-quarter of all districts are using the funds for staff development, more than half of the nation's student population falls in these districts.

Many districts, especially the larger ones, supported several kinds of activity. The various uses were not equally likely in all district size categories, as shown in Table III-2.

## Table III-2

## ACTIVITIES SUPPORTED BY BLOCK GRANT FUNDS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts in each size category putting 1984-85 Chapter 2 funds into: | | | | | |
|---|---|---|---|---|---|---|
| | Computer applications | Library/media center support | Curriculum development | Student support services | Instructional services | Staff development |
| **Very large** (25,000 or more) | 85 | 86 | 56 | 52 | 54 | 78 |
| Urban | 85 | 86 | 50 | 54 | 62 | 83 |
| Suburban | 87 | 85 | 62 | 49 | 44 | 73 |
| **Large** (10,000 to 24,999) | 82 | 82 | 49 | 42 | 36 | 68 |
| **Medium** (2,500 to 9,999) | 78 | 71 | 33 | 22 | 25 | 40 |
| **Small** (600 to 2,499) | 80 | 64 | 25 | 17 | 12 | 27 |
| **Very small** (under 600) | 62 | 68 | 18 | 7 | 13 | 16 |
| **All districts** | 72 | 68 | 25 | 15 | 16 | 27 |

The six activity categories consume unequal proportions of Chapter 2 funds nationwide. As shown in Table III-3, the first two (computer applications and library/media center support) account for nearly three fifths (59%) of all local Chapter 2 expenditures in the 1984-85 school year. The other categories divide up the remaining funds into roughly equal segments of between 7% and 9% of all local Chapter 2 expenditures in the 1984-85 school year.

The activity categories just described do not capture all possible uses of block grant funds. We inquired about other uses, both related and unrelated to instruction, the incidence of which appears in Table III-4.

These uses occur with less frequency than the major activity categories described above (except among desegregating districts, more than a quarter of which use Chapter 2 funds for activities that assist their desegregation efforts). Taken together with Tables III-2 and III-3, the data in this table point out a basic fact about the block grant: the vast majority of funds are used for instructional activities and instructional support. Only a small percentage of districts devote these dollars to noninstructional activities such as administration (see Section X for a discussion of administrative uses of Chapter 2 funds; Section XIII discusses evaluation).

## Grade Levels Served by Chapter 2-Supported Activities

Chapter 2 funds are supporting activities in all grade levels from preschool/kindergarten levels through high school, but in the 1984-85 school year districts tended to direct these funds more heavily to the upper elementary through senior high grades, as Table III-5 shows. (The table omits "library/media center support", which is typically distributed equally across all grade levels.) The activities shown in the table are spread fairly evenly across grade levels. More fine-grained analysis of how Chapter 2 support for selected types of instructional service (gifted and talented, remedial programs) and "schoolwide improvement" programs is distributed across grade levels reveals the same basic pattern (see Knapp,

Table III-3

### HOW LOCAL BLOCK GRANT FUNDS ARE DIVIDED AMONG THE MAJOR TYPES OF EDUCATIONAL ACTIVITIES THEY SUPPORT

| Types of Activities | Percentage of local funds allocated to activity in 1984-85 | Total local expenditures with 1984-85 Chapter 2 funds* |
|---|---|---|
| Computer applications | 30% | $98,757,903 |
| Library/media center support | 29 | 96,682,360 |
| Curriculum or new-program development | 9 | 30,055,895 |
| Student support services | 8 | 24,913,887 |
| Instructional services | 8 | 26,636,991 |
| Staff development | 9 | 28,657,702 |
| Other* | 7 | 24,680,265 |
| Total | 100% | $330,385,003** |

---

* Includes community education, minigrants, administration, evaluation, and miscellaneous uses that do not fit into the previous categories. See Table III-4.

** This total reflects expenditures made or projected, as of the time of responding to the questionnaire in February to March 1985, from both formula and discretionary sources. It is less than the figure in Section II for "total amount of Chapter 2 funds available to LEAs", because it does not include the private school share.

## Table III-4

## OTHER USES OF CHAPTER 2 FUNDS

| Uses of Chapter 2 funds* | Percentage of all districts using some or all of their 1984-85 Chapter 2 funds for these activities |
|---|---|
| Desegregation-related activities:* any kind of activities related to achieving desegregation goals or reducing racial isolation | 6 (29)** |
| Minigrant programs: e.g., locally sponsored competitive grants to support teachers' or schools' proposals | 3 |
| Community education: e.g., instructional services for community members or other outreach services | 2 |
| Administration: e.g., administrators' salaries, indirect administrative costs | 6 |
| Evaluation: Use of funds to support evaluation, not necessarily aimed at addressing Chapter 2's implementation or effects | 1 |
| Miscellaneous: Any uses that do not fit into previous categories | 11 |

---

* Desegregation-related activities could fall under any of the six major educational uses discussed earlier. See Section VIII for more detail on what was included within this category.

**Desegregation is not an issue in every district. Twenty-nine percent of districts that had implemented some kind of desegregation plan in the last 5 years used Chapter 2 funds to assist with these activities. See Section VIII for a more detailed discussion.

Table III-5

## GRADE LEVELS TOWARD WHICH BLOCK GRANT FUNDS ARE DIRECTED, BY TYPE OF ACTIVITY

| | Among the districts nationwide directing 1984-85 block grant funds for each activity, the percentage aimed at each grade level | | | | |
|---|---|---|---|---|---|
| Types of Activities* | Preschool/ kindergarten | Lower elementary (Gr. 1-3) | Upper elementary (Gr. 4-6) | Jr. high/ middle | Senior high |
| Computer applications | 16 | 55 | 77 | 74 | 68 |
| Curriculum/new-program development | 14 | 54 | 67 | 57 | 54 |
| Student support services | 11 | 36 | 54 | 43 | 68 |
| Other instructional programs | 14 | 64 | 72 | 61 | 48 |
| Staff development | 38 | 82 | 83 | 76 | 64 |

---

*Table omits the sixth major activity category, library/media center support (see explanation in text).

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1986). In a phrase, districts tend to use the block grant to provide "something for everyone."*

Site visits revealed that within a given district block grant funds are often targeted on a particular grade level in a given year, then directed to another grade level in subsequent years. For example:

- One Midwestern district made the introduction of computers in the junior high school the focus of Chapter 2 funding in 1983-84; improving elementary computer programs took priority in 1984-85.
- In a suburban district that used Chapter 2 as a major portion of the funding for a new district wide educational technology program, block grant funds initially purchased hardware for all grade levels; by the third year, the concentration was on software and other aspects of the program in grades K-8.

## Which Students Participate in Chapter 2-Supported Activities?

Four of the six major categories of activity supported by the block grant are often targeted to particular types of students, as indicated in Table III-6.** However, it is clear from the table that no particular type of student is favored overwhelmingly over others.

The results in the table should be interpreted with caution. Respondents were permitted to indicate whether, in addition to particular target groups, the activities in question were for "all types of students."

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* The even spread of Chapter 2 support across grade levels and schools has important implications for concentration versus dilution of block grant funding, as discussed in Section IX.

** We exclude from this analysis three categories of use: (1) staff development, because it does not serve students directly; (2) instructional resource support to libraries, media centers, and other school departments, because in almost all cases these benefits of Chapter 2 support are--in principle--available to all students; (3) desegregation support, because the participants are so often "all students affected by desegregation," which can be almost everyone in the school district, regardless of background.

## Table III-6

## TYPES OF STUDENTS TOWARD WHICH CHAPTER 2 FUNDS ARE DIRECTED

| | Percentage of districts that used 1984-84 Chapter 2 to support.... | | | |
|---|---|---|---|---|
| Types of Students | Computer applications | Curriculum/ new-program development | Student support services | Instructional services |
| Target groups: | | | | |
| Gifted and talented | 29* | 36* | 23* | 20* |
| Dropouts/ potential dropouts | 9 | 9 | 19 | 9 |
| Economically/ educationally disadvantaged | 21 | 16 | 25 | 42 |
| Handicapped | 18 | 16 | 19 | 27 |
| Limited English proficient | 6 (12)** | 8 (17)** | 8 (20)** | 15 (29)** |
| "Average" students | 23 | 23 | 20 | 26 |
| All types of students | 92 | 79 | 82 | 58 |

---

[*] Percentages should be interpreted as follows: 29% of the districts using 1984-85 Chapter 2 funds for computer applications targeted at least some of these funds toward gifted and talented students, etc. (Note that even so, many of these same districts also indicated that, overall, "all types of students" were served by their computer applications programs.)

[**] Percentage of districts with at least some Hispanic students (we had no measure for other groups that might have significant proportions of limited-English-proficient children).

As seen in the table, nearly all districts describe their computer applications that way; the great majority (approximately four-fifths) indicate, as well, that Chapter 2-supported curriculum development and student support services are designed for all kinds of students. Only in the case of instructional services do a substantial proportion of districts (approximately half overall) aim their Chapter 2 funding at particular types of students to the exclusion of others--in other words, support a "targeted" program in the classical sense of that term.

With this caveat in mind, the responses in the table nonetheless suggest differences in the pattern of student participation among the four categories of activity:

- Nationwide, computer applications and student support services are distributed fairly evenly across the most prevalent types of student groups. Limited-English-proficient students understandably are less often a focus; these students do not appear in all districts. Dropouts are a focus of student support services, such as counseling, as often as other groups, but are less likely to be the aim of computer applications.
- Curriculum/new-program development is disproportionately aimed at the needs of gifted and talented students. (Very often, in site visits this turned out to be work on computer-related curricula.)
- Instructional services supported by Chapter 2 are disproportionately aimed at economically/educationally disadvantaged students--typically, Chapter 2 funds supplemented existing state or federally supported compensatory education programs.

## Transition from Antecedent Programs: Change or Continuity?

The educational activities supported by the block grant represent, in varying degrees, a departure from what prevailed under antecedent programs. Districts used their antecedent program funds to support the major categories of educational activity in ways that followed the pattern of funding prior to the block grant, which was described in Section II. Understandably, nearly all districts purchased instructional materials and equipment (typically with ESEA Title IV-B funds). Computer purchases were not common; very large suburban districts were the most likely to use

Table III-7

## CHANGE IN ACTIVITIES SUPPORTED BY ANTECEDENT PROGRAMS AND THE BLOCK GRANT

| Type of Activity | Percentage of all districts that used federal funds to support each activity (and proportion of nation's students potentially served)... Under antecedent programs to support this activity in 1981-82 school year | Under Chapter 2 in 1984-85 school year |
|---|---|---|
| Computer applications | 20 (23)* | 72 (82)* |
| Library/media center support | 89 (82) | 68 (78) |
| Curriculum or new program development | 17 (30) | 25 (44) |
| Student support services | 14 (30) | 15 (55) |
| Instructional services | 9 (18) | 16 (34) |
| Staff development | 12 (26) | 27 (33) |

---

*The percentage in parentheses indicates the proportion of the nation's student population in the districts using antecedent or Chapter 2 funds for each activity.

antecedent program funds for this activity. Approximately a quarter of the districts in other size categories (except the very small districts) acquired computer equipment under antecedent programs. The same pattern applied to other types of activity: antecedent program funds supported them most often in the largest districts and in a progressively smaller proportion as one moved down the district size continuum.

Comparing the last year under the antecedent programs with the present under the block grant, the change in the way the activities are spread across districts is dramatic. To summarize the basic pattern in Table III-7 in a phrase: more districts are doing more kinds of things with this source of federal funding. The shift is most obvious with computer applications, which represent more than a threefold increase, but the increase in the use of funds for curriculum development is also substantial. Curiously, the purchase of other instructional materials and equipment for libraries and media centers declined significantly across the time period. As we were often made aware on site visits, librarians and media center directors could lose some control over resources under Chapter 2, even though library support remains a popular use of the funds. (The pattern does not hold, however, in cases where the library or media center became the principal location for computer-related programs.)

One must also consider the pattern in terms of students potentially affected by the changes. The number of districts does not tell us everything we need to know about the meaning of the changes because districts differ so radically in the proportion of the nation's students they serve. For example, 20% of the very large districts (approximately 30 districts) could represent between 5% and 10% of all the nation's students. The same percentage of very small districts, though representing many districts (more than 1,200), are likely to comprise fewer than 2% of the nation's students. Accordingly Table III-7 also indicates the change in the proportion of students potentially served by each activity. These figures demonstrate that the same pattern described for districts holds for students, although with a few exceptions.

## Trends Across the 3 Years of the Block Grant

The changes just described did not happen all at once, but instead appear to have happened gradually over time, with the biggest changes happening between the second and third years of the block grant, as shown in

Table III-8. In fact, under the first year of the block grant, the overall pattern of activity support resembles that of the previous year under antecedent programs quite closely, except that computer purchases had more than doubled and library support had dropped slightly. From this point forward, districts appear to have become increasingly willing with each school year to branch out from their earlier use patterns.

These findings underscore the importance of studying the effects of the block grant for at least several years after its inception. Early patterns of funds use do not necessarily paint an accurate picture of the block grant over the long term.

Table III-8

CHANGE IN TYPES OF ACTIVITIES
SUPPORTED OVER THE 3 YEARS OF THE BLOCK GRANT,
BY ACTIVITY CATEGORY

| | Percentage of all districts That used Chapter 2 funds for each activity category in the following school years... | | |
|---|---|---|---|
| Activities | 1982-83 | 1983-84 | 1984-85 |
| Computer applications | 49 | 60 | 72 |
| Library/media center support | 72 | 67 | 68 |
| Curriculum or new program development | 19 | 19 | 25 |
| Student support services | 11 | 14 | 15 |
| Instructional services | 9 | 8 | 16 |
| Staff development | 18 | 17 | 26 |

# IV LOCAL SPENDING PATTERNS AND EXPLANATIONS FOR THEM*

Local expenditures under the block grant can be analyzed either programmatically--that is, by the activity categories discussed earlier in this report--or in terms of the types of resources the funds purchase (staff, materials, equipment etc.). In this section, we do both and offer explanations for the spending patterns. First, we examine programmatic expenditure patterns in detail, followed by findings concerning the types of resources Chapter 2 funds purchase.

This section focuses on Chapter 2 spending for the public schools' share of local allocations only. Section XV deals with the allocation and use of funds serving private school students.

## Summary

The analyses reported in this section can be summarized as follows. First, regarding programmatic expenditure patterns, we found that:

(1) Large districts, which have more Chapter 2 dollars to spend, allocate them to a greater variety of areas. Smaller districts have to devote a larger proportion of their Chapter 2 resources to the activities they choose to support (more than half of the smaller districts devote all of their Chapter 2 funds to one activity area).

(2) The bulk of local Chapter 2 funds (approximately three-fifths) go to computer applications and support for libraries and media centers.

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*This section is adapted from another report from the National Study (Apling and Padilla, 1986).

(3) Other major activity areas--curriculum/new-program development, staff development, instructional services, and student support services--consume approximately equal proportions of the remaining Chapter 2 funds spent at the local level (between 7% and 9% each).

Second, regarding the types of resources purchased (for public school services) with block grant funds, we found that:

(4) A minority of districts use Chapter 2 funds for salaries of any kind. Districts that allocate funds for this purpose are typically investing in staff that provide direct services to students.

(5) Approximately three-fifths of all local Chapter 2 dollars support equipment and material purchases. Computer hardware and software alone account for 30% of all local Chapter 2 dollars spent in the 1984-85 school year.

(6) Most spending other than for salaries, equipment, or materials goes for staff development costs (e.g., consultants).

(7) Administrative costs comprised 5.4% of total local expenditures in the 1984-85 year.

Third, regarding influences on expenditure decisions, we found that:

(8) The absolute amount of Chapter 2 funding they receive predisposes districts toward certain types of expenditures--e.g., $50,000 a year or less means that investment in staff is unlikely. The greater the amount of the grant, the greater the variety of expenditures.

(9) The degree of loss or gain in funding from antecedent programs is only a significant factor where losses were substantial, such as in the largest urban districts, or where districts have gained a significant amount of funding.

(10) Prior commitments to staff or purposes of antecedent programs have been a strong influence on spending decisions: more often than not, activities supported by antecedent programs just before the shift to Chapter 2 still receive funding under the block grant 3 years later. At the same time, this fact has not prevented most districts from venturing out into new areas as well.

(11) Uncertainty about Chapter 2 audit requirements has contributed to the tendency to purchase equipment or materials rather than hire staff. However, on the whole, concern about audits under the block grant is low.

(12) Uncertainty about the stability of funding under Chapter 2 has not been a major influence on spending decisions so far.

(13) Local priorities are a major factor in determining how block grant funds are spent. Although only a small fraction of districts indicate that state reform priorities and mandates or national reform recommendations are major factors in decisions about the use of funds, certain widely held improvement priorities (e.g., regarding increased attention to mathematics, science, and computer literacy or the application of effective schools research) have influenced expenditure decisions in a substantial number of districts.

## Programmatic Expenditures

In the previous section of this report, we noted the proportions of districts supporting each of the six activity categories: computer applications, library and media center support, curriculum development, staff development, instructional services, and student support services. Our discussion also indicated the amounts and proportions of total district Chapter 2 funds that go to each activity. We review briefly the fiscal patterns in these analyses:

- The bulk of districts' public school dollars under the block grant (approximately three-fifths) go to computer applications and instructional resource support for libraries, media centers, etc. Approximately three-quarters of districts support computer purchases, while two-thirds put funds into library and media center support.
- The other four activity categories consume approximately equal proportions of the remaining Chapter 2 dollars (between 7 and 9% each). The proportions of districts investing in these activities vary from a low of 15% putting the funds into student support services to a high of 27% funding staff development. (There are important differences across size categories, which we explore in more detail below.)

Looking across district size categories, a fundamental fact of life under the block grant quickly becomes apparent: larger districts have more Chapter 2 dollars available to them and are likely to spend them in more areas. Table IV-1 summarizes this pattern by showing that large and very large districts tend to distribute Chapter 2 funds among several activity

Table IV-1

## NUMBER OF AREAS IN WHICH DISTRICTS SPEND CHAPTER 2 RESOURCES, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts in each size category spending 1984-85 Chapter 2 funds on each number of activity categories | | |
|---|---|---|---|
| | One* | Two* | Three or More* |
| Very large (25,000 or more) | 0 | 10 | 90 |
| Urban | 0 | 8 | 92 |
| Suburban | 0 | 13 | 87 |
| Large (10,000 to 24,999) | 6 | 13 | 81 |
| Medium (2,500 to 9,999) | 15 | 32 | 54 |
| Small (600 to 2,499) | 27 | 37 | 37 |
| Very small (under 600) | 43 | 36 | 21 |
| All districts | 30% | 34% | 35% |

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[*] Out of 6 major activity categories. See Section III.

areas while smaller districts concentrate funding on one or two areas. Whereas 92% of the nation's largest urban districts spend Chapter 2 dollars in three or more areas, 79% of the smallest districts used Chapter 2 for only one or two types of purchases.

Stated another way, smaller districts have to devote a larger share (or all) of their Chapter 2 resources to the one or two activities they choose to support, although there are important differences by type of activity.* For example, although fewer small districts put Chapter 2 money into computers, those smaller districts that do buy computers with Chapter 2 funds tend to allocate a larger proportion of Chapter 2 resources for this purpose than do larger districts. The same pattern can be seen for library and media center support: fewer small districts put their Chapter 2 dollars into libraries or media centers, but those that do, allocate more of their Chapter 2 dollars to this purpose than do larger districts.

The opposite pattern is evident in expenditures for instructional services, student support services, and perhaps staff development. Large and very large districts are more likely to allocate some Chapter 2 funds for these purposes, and those large districts that do, tend to spend proportionately more of their Chapter 2 resources for these activities than do smaller districts.

The patterns just described can be thought of as "portfolios" of Chapter 2 investments, determined in part by the amount of money the district has to work with. Large and very large districts have sufficient resources to diversify their Chapter 2 portfolios. They purchase computer hardware and software, books, and audiovisual equipment; many large districts also have the resources to fund staff development, provide guidance counselors, or pay some teachers' or aides' salaries as part of instructional programs. Smaller districts are like small investors. In most cases, these districts concentrate their Chapter 2 resources for maximum impact, which typically means concentrating funds on less expensive activities (e.g., involving equipment or material purchases rather than staff salaries).

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*Another report from the National Study (Apling and Padilla, 1986) presents more detailed analyses of this topic.

## Types of Resources Purchased with Block Grant Funds

The categories of activity just reviewed imply a certain type purchase. But one must look more directly at what Chapter 2 dollars buy to get a complete picture of the kinds of resources the block grant allows districts to acquire. We present in Table IV-2 the overall distribution of funds among types of purchase (for public school services).

Several patterns in this table characterize local Chapter 2 spending at the aggregate level:

- Districts putting Chapter 2 funds into salaries are, for the most part, investing in staff that provide direct services to children. Approximately two-thirds of total Chapter 2 personnel expenditures are for these kinds of staff.
- Computer software and hardware purchases are the most common type of resource bought with Chapter 2 funds; together, they account for 30% of all local Chapter 2 dollars in 1984-85 and half of all Chapter 2 expenditures for equipment, materials, and supplies.
- Chapter 2 funds purchase equipment and material more than other kinds of resources. Three-fifths of all local Chapter 2 dollars in 1984-85 go to this type of expenditure.
- Most spending for purposes other than district personnel, equipment, materials, and supplies goes for staff development costs (consultants are typically hired for this purpose).

Table IV-2

## TOTAL CHAPTER 2 DOLLARS ALLOCATED TO DIFFERENT TYPES OF RESOURCES (FOR PUBLIC SCHOOL SERVICES)

| Expenditure Category | Percentage of all districts that used funds for this resource | Total spent by districts on this category in 1984-85* | Proportion of total local chapter 2 spending | |
|---|---|---|---|---|
| **Personnel** | | | | |
| Teachers (specialist, classroom) | 11% | $ 44,751,902 | 13.9% | |
| Administrators | 4 | 13,063,252 | 4.0 | |
| Other certificated personnel (e.g., counselors) | 3 | 14,688,579 | 4.6 | |
| Noncertificated personnel (e.g., aides) | 6 | 13,361,440 | 4.1 | |
| Other salaries | 3 | 6,692,200 | 2.1 | |
| Subtotal | | | | 28.7% |
| **Equipment Materials, and Supplies** | | | | |
| Computer hardware | 58 | 79,124,142 | 24.5 | |
| Computer software | 44 | 16,071,893 | 5.0 | |
| Other equipment (e.g., audiovisual) | 37 | 33,703,282 | 10.4 | |
| Books and other materials | 63 | 62,436,703 | 19.3 | |
| Subtotal | | | | 59.2 |
| **Other** | | | | |
| Consultants | 8 | 6,971,678 | 2.2 | |
| Training/staff development costs** | 19 | 16,805,185 | 5.2 | |
| Indirect administrative costs | 10 | 4,835,054 | 1.5 | |
| Other | 11 | 11,213,291 | 3.5 | |
| Subtotal | | | | 12.4 |
| Total | | $323,718,601* | | 100.3%+ |

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* Districts reported this spending in the middle of the school year, both as a total of funds spent and projected to be spent (in some cases including funds carried over from the previous year). The figure thus does not match precisely the total district allocation figure in Section II.

** Not including consultants. Some other staff-development-related costs (e.g., the salary of a staff development coordinator) could be included in other line items.

+Does not equal 100% due to rounding error.

- Administrative costs--here defined as the sum of administrators' salaries and indirect administrative costs--represent a relatively small proportion of Chapter 2 dollars, approximately 5.5% of total 1984-85 Chapter 2 funds available to districts.*

Table IV-3 provides more detail on how districts of different sizes have chosen to spend their Chapter 2 funds by presenting the average amount allocated to the district and the average (median) dollar amounts for each type of purchase. Paralleling their pattern of programmatic support, larger districts tend to make more varied expenditures while smaller districts tend to invest heavily in materials and equipment (computers, books) and in consultants (for training). When smaller districts do use funds to pay for teacher salaries, their expenditures reflect a large proportion of the district Chapter 2 allocation.

We note that analyses of line-item expenditures describe only the resources that districts acquire with Chapter 2 funds. They tell little about the programmatic function of these resources, which will be described in later sections of this report. Computers are a case in point. Seen from the perspective of a budget sheet, these may seem to represent an effort by districts to fatten their stock of equipment at federal expense. From the local perspective, educators usually see these purchases as part of a venture into a new dimension of their instructional programs, as discussed in Section V.

## Influences on Local Spending

We review below findings about the major influences on districts' use of Chapter 2 funds, based on more extended analyses in other reports from the National Study (see Apling and Padilla, 1986, for an overview of these analyses). Our analyses concentrated on the effect on district

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*This measure of administrative costs is only an approximation. In all likelihood, some of the "noncertificated salaries" covered secretarial time, which could mean that the administrative-costs figure could be an underestimate; but this fact is probably offset by the fact that some of "administrative salary" costs cover the time of staff providing direct services to students. See discussion in Section X.

## Table IV-3

## AVERAGE CHAPTER 2 AMOUNTS ALLOCATED TO EACH TYPE OF RESOURCE

| District Size (Enrollment) | Median total public allocation | Median amount per district put into the following expenditures:* | | | | |
|---|---|---|---|---|---|---|
| | | Teachers' salaries | Administrators' salaries | Other certificated salaries | Noncertificated salaries | Other salaries |
| Very large (25,000 or more) | $373,216 | $110,161 | $ 44,826 | $ 75,510 | $ 38,807 | $ 22,800 |
| Urban | 394,417 | 141,429 | 52,736 | 93,200 | 55,414 | 21,034 |
| Suburban | 306,000 | 87,261 | 41,448 | 40,670 | 26,143 | 25,849 |
| Large (10,000 to 24,999) | 101,112 | 29,200 | 11,814 | 28,300 | 8,558 | 5,572 |
| Medium (2,500 to 9,999) | 28,258 | 13,452 | 8,189 | 13,974 | 6,867 | 3,375 |
| Small (600 to 2,499) | 8,736 | 4,000 | 7,000 | 7,154 | 3,000 | 90 |
| Very small (under 600) | 2,106 | 531 | 100 | 1,300 | 886 | 1,750 |
| All districts | 6,349 | 7,938 | 4,009 | 15,926 | 4,126 | 2,781 |

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*Excluding cases where $0.00 was spent on each category.

Table IV-3 (Concluded)

| District Size (Enrollment) | Median amount per district put into the following expenditures:* | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Computer hardware | Other equipment | Computer software | Materials | Consultants | Training | Indirect costs, administration | Other costs** |
| Very large (25,000 or more) | $ 50,000 | $ 32,682 | $ 10,000 | $ 53,492 | $ 14,220 | $ 14,527 | $ 13,720 | $ 20,128 |
| Urban | 40,278 | 30,613 | 10,000 | 64,209 | 14,970 | 19,430 | 13,966 | 28,792 |
| Suburban | 59,500 | 34,989 | 9,397 | 40,500 | 9,100 | 9,000 | 11,929 | 12,000 |
| Large (10,000 to 24,999) | 28,101 | 14,500 | 5,400 | 27,237 | 4,344 | 10,000 | 2,122 | 4,000 |
| Medium (2,500 to 9,999) | 12,900 | 7,032 | 2,500 | 7,103 | 2,000 | 3,050 | 1,017 | 1,624 |
| Small (600 to 2,499) | 5,834 | 2,970 | 1,000 | 3,458 | 2,000 | 2,113 | 501 | 507 |
| Very small (under 600) | 1,825 | 1,000 | 600 | 1,000 | 1,873 | 1,125 | 270 | 1,028 |
| All districts | 5,236 | 2,553 | 1,000 | 2,403 | 2,000 | 2,610 | 718 | 1,600 |

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[*] Excluding cases where $0.00 was spent on each category.

[**] Other costs include travel expenses, fiscal audits, testing, and minigrants to schools.

expenditures of (1) the amount of funds received (both in absolute terms and relative to antecedent programs), (2) the desire to continue antecedent programs, (3) uncertainty about auditors' requirements and the stability of block grant funding, and (4) the relative impact of local, state, and federal priorities.*

## The Amount of Funds Received

The amount of funding that districts receive plays an important role in decisions about the uses of the block grant in two ways: First, the absolute size of yearly Chapter 2 allocations appears to predispose districts toward certain types of expenditures. Those districts receiving less than $50,000 a year, for example, are reluctant on average to invest in staff, preferring to use funds to support materials and equipment for instructional programs or libraries. As noted earlier in this section, a greater amount of funding is associated with more varied expenditures. Second, the amount of funding relative to what had been received under the programs consolidated into the block grant--in particular, the degree of loss (or gain)--has played an important role in expenditure decisions in districts where losses were substantial, especially in the largest districts, which lost the most under the block grant. Two-thirds of the largest urban districts, for example, indicated that the loss of funds was an important influence on their decisions; 69% of those that indicated this impact reported losing staff as a result of the cuts. Significant gains in funding, on the other hand, seem to be associated with the use of block grant funds to support innovation (Knapp, 1986).

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*See Knapp (1986) for analyses related to the effects of antecedent programs on current decisions; Turnbull and Marks (1986) also treat this topic, as well as the extent of audit anxiety and the effect of reform recommendations on local use of block grant funds.

## Antecedent Program Commitments

A second finding underscores the importance of programs that were in place before the shift to the block grant. Prior commitments to staff or to the programmatic purposes of antecedent programs have been a strong influence on spending decisions across all size categories, especially in large urban districts (two-thirds of which reported this as a very important factor in their considerations). Obligations to existing staff and the requirements of desegregation orders were the most salient forces driving decisions about continuation of these services with block grant funds.

As Table IV-4 shows, districts were more likely to continue supporting an activity area funded by an antecedent program than to discontinue it. At the same time, as pointed out in Section III, this practice did not prevent districts from venturing out into new areas as well. This pattern of supporting "something old, something new" probably reflects the combined impact of strong antecedent-program traditions and the availability of an increased amount of flexible funding.

Table IV-4

## CONTINUATION OF SUPPORT UNDER THE BLOCK GRANT FOR ACTIVITIES FUNDED BY ANTECEDENT PROGRAMS

| Activity Category | (a) Estimated number of districts nationwide using antecedent funds in 1981-82 to support activity | (b) Percentage of districts in (a) using 1984-85 block grant funds to support the same activity |
|---|---|---|
| Computer applications | 2,411 | 84 |
| Support for libraries, media centers, etc.* | 10,971 | 70 |
| Curriculum or new-program development | 2,093 | 57 |
| Student support services | 1,722 | 49 |
| Instructional services | 1,052 | 57 |
| Staff development | 1,494 | 62 |
| Desegregation-related activities** | 908 | 66 |

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* Includes materials and equipment other than computer hardware or software.

**This category cuts across most of the preceding ones, because ESAA funding could have been used in various activity areas. See discussion in Section VIII.

## Uncertainty about Audits and Stability of Funding

Uncertainty about what Chapter 2 auditors would require influenced some districts to spend their Chapter 2 funds on what they perceived as "safe" purchases, although the general level of anxiety about audits was low. Many of the Chapter 2 coordinators we interviewed worried that federal auditors eventually would require what had always been required of federal programs. As a result, some of these local officials were "playing it safe" and keeping careful records of all Chapter 2 purchases and decisions.

The most obvious approach to playing it safe is to purchase equipment and materials. Many local administrators believe that it is easier to demonstrate compliance with federal regulations by purchasing computers or books than by funding staff positions. According to one Chapter 2 coordinator, equipment purchases provide tangible evidence of expenditures and thus a clean audit trail. But when a staff member is hired with Chapter 2 funds it is sometimes difficult to demonstrate that the LEA is "adding" to state and local expenditures rather than replacing them. For example, one large district that had continued funding for ESAA guidance counselors wanted to support them in schools not participating in busing, but did not do so because administrators believed they were constrained by supplement-not-supplant considerations to use local funds to add these counselors in schools that did not receive ESAA funds.

With regard to uncertainty about future funding under the block grant, we were unable to detect a consistent impact of this factor on expenditure decisions. Approximately a fifth (21%) of the Chapter 2 coordinators responding to our survey indicated that uncertainty about funding had in some way limited the use of block grant funds. When their expenditure choices were compared with those of others who did not see this factor as a limitation, there were no major differences (see Apling and Padilla, 1986). During site visits we encountered a number of instances in which administrators "hedged their bets" against the uncertainty of future Chapter 2 funding by making one-time purchases of equipment or materials. However, there were apparently other, more important factors influencing these kinds of purchases (see discussion in Section V) in the majority of districts.

## Impact of District, State, and National Priorities

Regarding the impact of district, state, and national priorities on districts' decisions about the use of Chapter 2 funds, we found that district priorities exert a great influence on decisionmaking at the local level. Only a small fraction (approximately a tenth of the districts nationwide) indicate that state mandates and priorities or national reform recommendations are major factors in their decisions about the use of Chapter 2 funds. However, many districts are using block grant funding to support activities relevant to federal or state priorities--in particular, the use of educational technology and the development of programs based on effective schools research as shown in Table IV-5, which summarizes the extent to which Chapter 2 funds are used to address selected educational improvement priorities.

## Table IV-5

## USE OF CHAPTER 2 FUNDS TO SUPPORT REFORM PRIORITIES

| Educational Improvement Goal | (a) Estimated number of districts with goal as top priority | (b) Estimated percentage of districts in (a) that used Chapter 2 to address the goal |
|---|---|---|
| Improve computer literacy, math, or science instruction | 10,065 | 85 |
| Implement effective schools research | 3,944 | 64 |
| Improve test scores | 5,712 | 60 |
| Dropout prevention | 1,360 | 33 |
| Improve time on task | 3,944 | 29 |
| Raise graduation requirements | 3,808 | 22 |
| Create partnerships with business | 1,088 | 13 |
| Career ladders or merit pay for teachers | 952 | 8 |
| Lengthen school day or year | 1,360 | 5 |

# PART TWO

## EDUCATIONAL SERVICES

In this part of the report, we look in detail at the variety of educational services currently supported by the block grant in school districts nationwide, noting changes from antecedent programs and across the 3 years of the block grant. Separate sections summarize findings regarding:

- Support for materials and equipment (Section V)
- Curriculum and staff development (Section VI)
- Instructional and student support services (Section VII)
- Desegregation-related activities (Section VIII)
- The block grant's contribution to educational improvement (Section IX).

The major findings of the analyses reported in this part of the report can be summarized as follows.

### Materials and Equipment in the Instructional Program

- Extent and nature of support for materials and equipment. Use of Chapter 2 funds for some kinds of instructional equipment or materials predominates over other kinds of uses: 95% of all districts put some of their block grant funds, accounting for nearly three-fifths of all local Chapter 2 dollars (in the 1984-85 school year), into some kind of materials or equipment. They tend to view these purchases as an investment in a new kind of instruction rather than as an extension of the equipment budget.
- Support for computer technology. Chapter 2 has made a major contribution to increasing the use of computer technology in local instruction. Approximately three-quarters of all districts have

devoted 30% of all local Chapter 2 dollars in 1984-85 to this purpose, principally for the purchase of hardware, but also for some software in an equivalent number of districts. Chapter 2-supported computer technology is heavily used, especially in core academic instruction and in computer literacy courses. Its use is often linked to computer applications focused on curriculum or staff development.

- Support for Libraries and media centers. Another 29% of all local Chapter 2 dollars (in 1984-85) have been used by approximately two-thirds of all districts to purchase instructional materials and equipment (other than computer technology) for libraries, media centers (and, to some extent, for other school departments), following the pattern established under ESEA Title IV-B. The bulk of this support purchases library books and materials that run the gamut of the curriculum; audiovisual materials are also a popular acquisition. Site visit evidence suggests that library and media center support maintains current collections (e.g., by replacing worn-out or outdated items) as much as it expands or improves them.

## Curriculum or Staff Development

Our findings about these developmental activities can be summarized as follows:

- Extent of Chapter 2 support for curriculum or staff development. Approximately a quarter of all districts (in 1984-85) have invested modest amounts of their Chapter 2 funding in curriculum development, accounting for about 9% of all local Chapter 2 dollars. A similar percentage of districts put some of their Chapter 2 funds (comprising, in aggregate, an additional 9% of total Chapter 2 funding at the local level) into staff development.

- Focus and scale of Chapter 2-funded curriculum development. Chapter 2-supported curriculum development tends to focus on small-scale revisions of, or additions to, core academic curricular areas, computer literacy, and vocational education, aimed at a variety of student needs (gifted and talented students are more often the focus than other groups, but no one group predominates).

- Block grant support for staff development. Block grant funds used for staff development support a wide range of inservice training aimed most often at instruction and instructional leadership, with emphasis on the teaching of core academic areas. These training efforts are aimed at staff serving all levels of school but concentrate on elementary grades more than others. Two-fifths of the districts use some of their Chapter 2 staff development funds to train underqualified teachers in areas of teacher shortage.

Approximately twice as many districts use funds for staff development under Chapter 2 as under antecedent programs.

## Instructional and Student Support Services

Our findings about direct services to students under the block grant can be summarized as follows:

- Extent of Chapter 2 support for direct services to students. Direct services to students are a less frequent use of the block grant than either material or equipment support or developmental activities: approximately a sixth of all districts fund instructional services (e.g., compensatory education programs, instruction for the gifted and talented) with Chapter 2 money, devoting approximately 8% of all local block grant dollars to this purpose. Approximately the same proportion of districts put a similar aggregate amount into student support services (e.g., counseling, testing). Larger districts are especially likely to use Chapter 2 for these two types of services.

- Instructional services. Chapter 2-supported instructional services are aimed at the remedial needs of disadvantaged and other low-achieving students more than any others. Accordingly, these services tend to emphasize basic skills, reading, and mathematics. By comparison with antecedent programs, this type of activity is an increasing area of emphasis.

- Student support services. These services funded under the block grant tend to be aimed at all students (or, when targeted, no particular group is served much more frequently than others). General-purpose counseling and assessment are the most frequent student support services to which block grant money contributes, although in districts with high concentrations of special needs, Chapter 2 may contribute to more specialized services (e.g., drug abuse prevention).

## Desegregation-Related Activities

Our analyses of the block grant's contribution to desegregation-related activities concentrated on the subset of districts (18% of all districts) that had implemented in the last 5 years a plan to desegregate schools or reduce racial isolation. Among these districts, we found that:

- Extent of Chapter 2 support for desegregation. Most of the largest urban districts (enrollments 25,000 or more) have opted to use Chapter 2 to support desegregation efforts; the majority in other district size categories have not. Two-thirds of the districts formerly receiving ESAA desegregation assistance funds use the block grant for this purpose.

- Factors encouraging use of the block grant for this purpose. External desegregation mandates, recent or complex desegregation plans, high concentrations of minority students, and large losses in funding from antecedent programs make it more likely that districts will use Chapter 2 for this purpose.

- Breadth and depth of Chapter 2 support for desegregation. The block grant has, in effect, spread less desegregation assistance over more districts. By comparison with what prevailed under antecedent programs, approximately twice the number of districts use the funds for desegregation activities (but these districts serve slightly fewer of the nation's total student population than before the block grant). However, the aggregate funding that districts have applied to this purpose in 1984-85 under Chapter 2 is, at most, only a quarter of what went into desegregation assistance under ESAA.

- Types of activities supported. Districts do not necessarily use all of their Chapter 2 funds for desegregation-related activities. Funds that have been used in this area are directed primarily at instructional services (e.g., compensatory education for students), student support services (e.g., human relations counseling), and staff development.

- Degree of impact on district's desegregation program. Local perceptions of the impact of the block grant on desegregation efforts depend on the severity of the situation the district faces. The hardest-hit districts (in large urban areas, desegregating under court or agency order, and with large losses in ESAA funding) see the block grant as the source of significant problems; others cite little or no impact.

## Educational Improvement

Our analyses of the block grant's contribution to educational improvement concentrated on evidence of effects on aspects of the local instructional system that influence student learning indirectly: materials and equipment, curricula, the training of staff, school-level coordination, and the process of innovation. Regarding Chapter 2 support for improvement-oriented activity, we found that:

- Scale of improvements. The scale of improvements attributable to the block grant in each of these areas is small.

- Improvement in instructional materials and equipment. Chapter 2 dollars have improved the stock of equipment and materials, chiefly by boosting the introduction of computer technology into many aspects of the local instructional program.

- Curriculum improvement. By contrast with antecedent programs, the block grant has enabled a larger number of districts to try to upgrade some aspect of the curriculum, especially in core academic instructional areas and computer literacy or computer science; these development efforts do not seem to be isolated, but rather are often linked to other aspects of the instructional system supported by block grant funds (e.g., especially to computer purchases and related training).

- Improvement in staff training. Chapter 2 has expanded the amount and diversity of staff training offered, by contrast with antecedent programs, with special emphasis placed on instructional issues, instructional leadership, and retraining in areas of teacher shortage.

- Stimulus to innovation. Block grant funds and the flexibility of their use appear to have stimulated innovation in a large number of districts, especially where the funds represent an increase over the discretionary dollars received before Chapter 2, creative local leadership is looking for ways to stimulate change in practices, and there are few alternative sources for supporting innovation (including local funds, which may be managed conservatively).

- Stimulus to school-level coordination and planning. There is little evidence that the block grant has directly stimulated school-level coordination and instructional planning (except in some minigrant arrangements).

- The dilution of improvement efforts. Our analyses raise the possibility that the block grant's contributions to educational improvement may be fairly dilute, more so because (1) districts tend to use funds to provide "a little something for everyone", (i.e., for all schools or all types of students), rather than concentrating the funds for more intensive effect, and (2) although the Chapter 2 dollars at the local level have remained constant across the 3 years of the block grant, districts have spread the funds among a greater number of activity areas each year. Local leveraging effects (e.g., where Chapter 2 funds are matched by state or local funds or where initial investments of block grant funds stimulate future funding from other sources) may offset the fact that resources are spread so thin; however, our data do not permit us to estimate the incidence of these effects.

# V MATERIALS AND EQUIPMENT IN THE INSTRUCTIONAL PROGRAM

In terms of both dollars and numbers of districts, Chapter 2's biggest contribution to instruction has been to pay for materials and equipment. In this section we explore the meaning of this kind of support in terms of two themes: first, the introduction of computer technology into the instructional program, and second, the continued support for library or media center programs.

## Summary

Our findings about Chapter 2 support for equipment and materials in the instructional program can be summarized as follows. First, regarding the use of block grant funds for this type of activity, we found that:

(1) Support for instructional materials and equipment accounts for nearly three-fifths of total local expenditures under Chapter 2.

(2) Nearly all districts (95%) are using Chapter 2 funds for some kind of instructional materials or equipment, for computer applications or to support libraries and media centers (and other school departments), or both.

(3) For smaller districts that choose to use block grant funds this way, investment in instructional materials and equipment consumes, on average, most of what they receive under Chapter 2. For larger districts, the investment represents a small fraction of their annual Chapter 2 resources.

Second, regarding the introduction of computer technology into the instructional program, we found that:

(4) Support for computer applications has been the most popular activity under Chapter 2, accounting for 30% of all local expenditures under the block grant. Most of the dollars have gone for computer hardware, but an approximately equal number of districts have put the funds into both hardware and software.

(5) The block grant is not solely responsible for the buildup in districts' computer education programs. Other important factors include national professional trends, state requirements or encouragement, local advocacy (e.g., by community members). Chapter 2 has enabled a more rapid expansion in the amount of computer equipment than otherwise would have been possible. The scale of Chapter 2 support is still not great: the funds typically support the purchase of one or two new computers per elementary school per year or a small computer laboratory for a secondary school.

(6) Local educators tend to view their purchases as an investment in a new kind of instruction, rather than as an extension of the equipment budget. Computer technology items are not standalone purchases: they are often linked to curriculum development or staff development and to a district priority on improving instruction in mathematics, science, and computer literacy.

(7) Computers purchased with Chapter 2 funds are used most often for instruction in mathematics, reading/language arts, and computer literacy. In more than half of the districts, at least some of the new technology is aimed at improving basic skills. The computer equipment is also applied to business education and science in a substantial number of districts (approximately a third of districts that are using the block grant for this purpose).

(8) Evidence from the school level indicates that the computer technology is typically being used by a majority of students and staff in the school. All types of students in the school tend to have access to the equipment. As often as not, the new technology is integrated into the core curriculum to some degree.

Third, regarding Chapter 2 support for other instructional equipment and materials, we found that:

(9) The uses of Chapter 2 follow the patterns established under ESEA Title IV-B: the funds provide routine support to libraries, media centers, and sometimes to other school departments (e.g., by purchasing supplemental materials).

(10) Two-thirds of the expenditures are for books and materials. The majority of districts using Chapter 2 funds in this area purchase library books (typically reference books or materials that relate to core instructional subjects); only a small percentage (13%) acquire what they consider to be "textbooks" with the funds. Audiovisual materials and equipment are also a popular purchase: nearly half of these districts use the funds for this type of acquisition.

(11) Site-visit evidence suggests that Chapter 2 support for libraries and media centers as often as not helps maintain current collections (by replacing worn-out and outdated items) as much as it expands or improves them. Block grant dollars may comprise a significant portion (e.g., a third or even half) of the total amount a school or district spends annually for library materials.

(12) Block grant dollars purchase materials or equipment that covers the gamut of the curriculum. When specific curricular areas are targeted, they tend to follow the major outlines of the district instructional program, with greatest emphasis placed on core academic subjects.

## Allocation of Local Funds to Equipment and Materials

Together these two kinds of support account for nearly three-fifths of total local expenditures under the education block grant, made by more than two-thirds of the nation's school districts. We summarize the overall pattern in Table V-1 (because the pattern is virtually the same for all size categories, we do not break them out separately):

Table V-1

CHAPTER 2 SUPPORT FOR COMPUTER HARDWARE/SOFTWARE AND OTHER INSTRUCTIONAL MATERIALS OR EQUIPMENT

| Type of Activity | Percentage of districts nationwide that are using 1984-85 Chapter 2 funds for each type of activity | Total local Chapter 2 dollars spent on these areas (percentage of total local Chapter 2 dollars) | |
|---|---|---|---|
| Computer hardware/ software | 72 | $ 98,757,903 | (30) |
| Other instructional materials/equipment | 68 | $ 96,682,360 | (29) |
| Either of the above | 95 | $195,440,263 | (59) |

As Table V-2 indicates, this use of block grant funds represents the major expenditure for smaller districts choosing to invest in this area, but only a fraction of the block grant resources available to larger districts. This pattern results primarily from the differences in Chapter 2 grant size across districts, as discussed in Section IV. The table helps to understand the scale of the Chapter 2 contribution to computer education in each district: on average, block grant funds do not buy districts a large amount of computer equipment in any given year. For example, the amounts spent are equal to approximately 30 or 40 low-priced microcomputers in very large districts and 1 or 2 computers in very small districts.

## Introducing Computers into the Instructional Program

Perhaps the single most significant contribution in its first 3 years is that the education block grant has helped districts introduce the computer into their instructional programs. As noted earlier in this report, an increasing proportion of districts each year have been using Chapter 2 to support computer applications of one kind or another.

The shift toward computer purchases under Chapter 2 cannot be attributed to the block grant alone. Respondents told us that they decided to use block grant funds for computer purchases because computers were "in the air," and that they would have tried to purchase this equipment through other means (including some of the antecedent programs, had these continued). During site visits, we encountered other factors that were also encouraging computer purchases: some states required or urged districts to build capacity in this area, and some community members (among them computer dealers) put pressure on districts to incorporate the new technology into instruction, as did other local advocates. Whatever the combination of forces, the real increases in discretionary dollars that most districts had under the block grant, coupled with the low levels of real or perceived restrictions on the use of these funds, made the block grant a particularly appropriate vehicle for "getting into the computer age." The introduction of computers was possible in some districts where school boards were

## Table V-2

## AVERAGE AMOUNT (AND PROPORTION) OF DISTRICT FUNDS FOR COMPUTERS OR OTHER INSTRUCTIONAL MATERIALS AND EQUIPMENT

| | Average (median) funding allocated by district in each size category for... | | | |
|---|---|---|---|---|
| | (a) Computer hardware/ software | | (b) Other instructional materials/equipment | |
| District Size (Enrollment) | Amount* | Proportion** | Amount* | Proportion** |
| Very large (25,000 or more) | $63,135 | 11% | $94,832 | 25% |
| Urban | 55,201 | 10 | 97,721 | 25 |
| Suburban | 77,500 | 20 | 75,960 | 25 |
| Large (10,000 to 24,999) | 25,358 | 30 | 40,276 | 40 |
| Medium (2,500 to 9,999) | 13,206 | 50 | 11,535 | 40 |
| Small (600 to 2,499) | 6,020 | 70 | 4,580 | 50 |
| Very small (under 600) | 2,002 | 80 | 1,405 | 75 |
| All districts | $ 4,688 | 65% | $ 2,753 | 53% |

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*Median amount from districts' 1984-85 allocation, excluding all districts that did not allocate funds to this use.

**Median proportion of the districts' 1984-85 allocation, excluding all districts that did not allocate funds to this use.

reluctant to use their funds for "experimental" uses because the block grant funding came from the outside and had few strings attached (see Turnbull and Marks, 1986).

The bulk of Chapter 2 funding in this area appears to have gone for computer hardware, although equal proportions of districts put some block grant funds into both hardware and software, as shown in Table V-3.

Table V-3

BLOCK GRANT SUPPORT FOR HARDWARE
VERSUS SOFTWARE PURCHASES

| Type of Purchase | Among districts using the funds for computer equipment, percentage making each type of purchase | Total amount of local 1984-85 Chapter 2 dollars |
|---|---|---|
| Hardware | 83% | $79,124,142 |
| Software | 64% | $16,071,893 |

---

*The sum of these--$95,196,035--may slightly underestimate district expenditures for computer applications. Another questionnaire item, on which Table V-1 was based, puts the total allocations to computer applications at $98,757,903.

## What Block Grant Funds Have Provided

Typically, when Chapter 2 funds were first available, districts found themselves venturing into computer education for the first time, with few or no computers on hand. Chapter 2 made it possible to build rapidly to a "critical mass" of equipment at which a number of classes or grade levels could have access to the equipment on a regular basis. What constitutes a "critical mass" depends on a district's sophistication with computers and expectations for its program. In some cases, two or three computers per school are sufficient to get a variety of students and staff exploring the possibilities of this technology. In other cases, Chapter 2 enables schools to operate a full-sized computer laboratory or, in one school we visited, a complete "electronic classroom."

Enthusiasts at the local level are quick to point out that the capacity-building process is not yet complete. In one large district we visited, for example, Chapter 2 had supported the purchase of nearly 100 computers in 3 years. The Chapter 2 coordinator commented:

> This year, we have principals and teachers testifying to our District Planning Committee about what they need. We ask, do they want labs, movable computers, whole classes? They tell us they want everything, all of the above.... Our committee now has over $300,000 worth of justifiable requests for computer uses in the schools and only $80,000 to spend.

Hardware is also only the first step. The software collections of many schools we visited remain fairly limited; this shortage restricts the range of computer applications considerably, although the limitation is probably temporary.

It is easy but misleading to view this type of use narrowly as "equipment support." From the local perspective, it is more accurate to characterize it as a first investment in a new kind of instruction. Various kinds of evidence support this view:

- Computer hardware/software purchases tend to be accompanied by related curriculum or staff development, as shown in Table V-4.
- The majority of districts are using the computers in core academic instructional areas, as Table V-5 demonstrates. Few (15%) use the computers for administrative uses.
- Computer purchases tend to reflect district improvement priorities (see Table V-4) and are often part of a multiyear plan for integrating educational technology into the instructional program.

Table V-4

## LINK BETWEEN CHAPTER 2-SUPPORTED COMPUTER PURCHASES AND CURRICULUM DEVELOPMENT, STAFF DEVELOPMENT, AND DISTRICT IMPROVEMENT PRIORITIES

| District Size (Enrollment) | Percentage of all districts using block grant funds to support computer applications (in any of the 3 years of Chapter 2) in which ... | |
|---|---|---|
| | Chapter 2-supported curriculum development or staff development also focused on computers | improving instruction in mathematics, science, and computer literacy was a major district priority |
| Very large (25,000 or more) | 47 | 86 |
| Urban | 50 | 83 |
| Suburban | 42 | 90 |
| Large (10,000 to 24,999) | 52 | 90 |
| Medium (2,500 to 9,999) | 62 | 81 |
| Small (600 to 2,499) | 59 | 82 |
| Very small (Under 600) | 24 | 84 |
| All districts | 52 | 83 |

Table V-5 also summarizes the different ways in which Chapter 2-supported computers are being used. A majority of districts devote some or all of the computers to drill and practice (in noncomputer courses); an equal proportion (although not necessarily the same ones) use the computers for computer literacy or programming courses, or as a teaching tool (other than for drill and practice) in noncomputer courses. A tenth of the districts use computers for local software development.

### A Schools'-Eye View

Site visits and the telephone survey at the school level help to describe in more detail how much the equipment is used, who uses it, and how it fits into the school instructional program. Several patterns are clear.

First, although there is variation across schools related to the staff's experience with and interest in computer technology, Chapter 2-supported computers are not "sitting on the shelf." As Table V-6 summarizes, approximately four-fifths of the schools surveyed indicate that the computers are in use more than 10 hours (out of an approximately 30-hour school week); nearly three-fifths (57%) of the schools have the computers in use 20 hours per week or more. A majority of the students in each school and half the staff, on average, have regular access to the equipment.

Second, we found little evidence that computer use is systematically restricted to one student group or another (other than grade level limitations due to the placement of computers in the curriculum). School survey respondents claimed that virtually all target groups present in the school used the computers, a finding that corroborates mail survey responses reported earlier in Section III. This is not to say that subtle "targeting" of computer use does not occur, as suggested by the following teacher's description:

> We started with enrichment activities for the top students. We wanted them to have LOGO.... These were the top math students, but we are developing LOGO in the classroom for non-high-achieving kids. We think

## Table V-5

## HOW CHAPTER 2-SUPPORTED COMPUTERS ARE USED: CURRICULAR AREAS AND TYPES OF USE

Among districts that put 1984-85 Chapter 2 funds into computer applications, percentage using the computers for...

| Curricular area | |
|---|---|
| Mathematics | 70 |
| Reading/writing/ language | 64 |
| Computer literacy | 61 |
| Basic skills | 58 |
| Business education | 35 |
| Science | 34 |
| Vocational/career education | 25 |
| Social studies/ history | 24 |
| Arts/music | 11 |
| Foreign language | 8 |
| ESL/bilingual | 3 (12)* |

| Type of use | |
|---|---|
| Drill and practice in noncomputer courses | 68 |
| Computer literacy programming courses | 68 |
| Teaching tool in noncomputer courses (other than for drill and practice) | 67 |
| Instructional management | 24 |
| Administrative applications | 15 |
| Local software development | 10 |

---

*Percentage of districts based only on those with populations of Hispanic students (a rough proxy for districts with a need for ESL/bilingual services; however, we had no measure for other populations, e.g., Southeast Asian, that might need these services). This percentage increases as the percentage of Hispanic students goes up: 32% of the districts with more than 20% of the student population Hispanic used computers for ESL/bilingual programs.

## Table V-6

## STUDENT AND STAFF UTILIZATION OF CHAPTER 2-SUPPORTED COMPUTERS

| Intensity of Student Use | Percentage of schools in which students use in this range (n = 94)* |
|---|---|
| Hours per week computers are used for instructional purposes: | |
| Less than 6 hours | 8 |
| 6-10 hours | 13 |
| 11-15 hours | 9 |
| 16-20 hours | 13 |
| More than 20 hours | 57 |
| | (100) |
| **Student Participation Level** | |
| Percentage of students per school Using Chapter 2-supported computers | 58<br>(n = 85) |
| **Staff Participation Level** | |
| Percentage of staff per school using computers for instruction | 50<br>(n = 87) |

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*Although the samples of schools on which these percentages are based are representative of major differences in the universe of schools and districts, the results in the table are not sufficiently precise for national estimates.

> that the mechanics can be taught by computer. It's as motivating for low-achieving kids as high. The LD teacher is going great guns with her severe-to-mild students. For the non-LD lower student, it will be interesting to see how they respond.

But the limited targeting does not change the overall pattern that all types of students tended to benefit to some degree from the availability of computers.

Third, the Chapter 2-supported computers appear to be in more than one place in the school, as Table V-7 implies. Our telephone survey revealed that, although two-thirds of the schools put some or all of the machines in computer laboratories, an even greater percentage had them in classrooms. As often as not, schools put one or more in the library or media center, as well.

Fourth, nearly half of the schools surveyed indicate that computers are part of the core curriculum. Our site visit data suggest that this assertion should be interpreted carefully. Although we found numerous instances of computers used for mathematics drill, science-related coursework, or computer literacy (which has become in an increasing number of districts a "core" curricular requirement), this curricular integration is neither complete nor extensive in most cases. More typically, we found:

- One or a few teachers within each elementary school who had become excited about the possibilities of the computer and had begun to experiment with a computer as an optional activity during reading or math class.
- Selected mathematics or science classes in secondary schools would sign up for the computer laboratory for several weeks to do a unit on computer-related aspects of their courses.

However, our site visits suggest that there is a trend toward some degree of curricular integration.

Table V-7

## INSTRUCTIONAL SETTING OF CHAPTER 2-SUPPORTED COMPUTERS AND RELATIONSHIP TO CORE CURRICULUM

| Setting | Percentage of schools in which some or all computers are in each setting (n = 95)* |
|---|---|
| Computer laboratory | 65 |
| Media center, library, resource room | 51 |
| Regular classroom | 72 |

| Relationship to Curriculum | Percentage of schools in which computers are or are not part of the core curriculum (n = 94) |
|---|---|
| Part of core curriculum | 47 |
| Not part of core curriculum | 53 |
| | (100) |

---

[*] Although the samples of schools on which these percentages are based are representative of major differences in the universe of schools and districts, the results in the table are not sufficiently precise for national estimates.

## Other Instructional Materials and Equipment

Other forms of material and equipment purchases follow the pattern established under ESEA Title IV-B--these funds are most often used to supplement the materials and equipment in libraries and media centers, at both the school and district levels. Some administrators we interviewed referred to Chapter 2 as "an extension of Title IV-B." Consistently, we found evidence during site visits of long-established patterns of using federal funds to supplement what was locally available for library or media center budgets, once the most pressing needs for textbooks and course materials had been taken care of. Librarians often were strong advocates for continuing this pattern.

Most of the block grant funds in this area go to "books and materials" rather than "equipment (other than computers)," as Table V-8 shows. The table also shows the most frequent kinds of purchase within each category.

- Most districts (approximately two-thirds) putting Chapter 2 funds into this category of support purchase "library books," which typically means reference books, general-interest volumes, and books that relate to some aspect of the core curriculum.
- Few districts (13%) use the funds to purchase what they consider to be "textbooks."
- Audiovisual materials (e.g., tapes, cassette services) and equipment (e.g., tape recorders, videocassette recorders, overhead projectors) are also a popular purchase; nearly half of the districts using funds in this area do so.

Most often, block grant support in this area covers the gamut of the curriculum, in keeping with the general-purpose nature of libraries, media centers, and other instructional resource centers. More than three-quarters (77%) of the districts indicated as much, as Table V-9 shows. However, purchases are made in many instances for specific curricular areas--sometimes as supplementary materials in a particular subject area located in the library, sometimes as materials for classroom or departmental use. The table notes how often this form of Chapter 2 support contributes to each curricular area. Not surprisingly, the results follow the contours of the

## Table V-8

## BLOCK GRANT SUPPORT FOR INSTRUCTIONAL BOOKS AND MATERIALS AND EQUIPMENT (OTHER THAN COMPUTERS)

| Purchase Area | Percentage of districts using 1984-85 funds in this area | Total amount of dollars (and percentage of total LEA Chapter 2 expenditures)* |
|---|---|---|
| Books and materials (other than computer software) | | $62,799,993 (20) |
| Library books | 69 | |
| Audio-visual materials | 47 | |
| Other materials and supplies | 17 | |
| Textbooks | 13 | |
| Other items | 10 | |
| Equipment (other than computer hardware) | | $33,703,282 (10) |
| Audiovisual equipment | 49 | |
| Other equipment | 13 | |

---

[*] The sum of these--$96,503,275--differs slightly from the figure appearing in Table V-1 because it was derived from another questionnaire item that asked for expenditures as opposed to allocations.

## Table V-9

## CURRICULAR AREAS COVERED BY INSTRUCTIONAL MATERIALS AND EQUIPMENT (OTHER THAN COMPUTER HARDWARE OR SOFTWARE) PURCHASED WITH CHAPTER 2 FUNDS

| | Among districts that use block grant funds to support libraries and media centers, percentage in which the indicated curriculum areas were specially targeted |
|---|---|
| Wide variety of areas | 77% |
| Reading/writing/language | 44 |
| Social studies/history | 38 |
| Basic skills | 37 |
| Science | 33 |
| Mathematics | 27 |
| Arts/music | 21 |
| Computer literacy | 17 |
| Health | 16 |
| Vocational career education | 15 |
| Business education | 12 |
| Physical education | 10 |
| Foreign language | 8 |
| Multicultural awareness | 4 |
| ESL/bilingual | 4 (8)* |

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*Percentage of districts based only on those with populations of Hispanic students (a rough proxy for districts with a need for ESL/bilingual services; however, we had no measure for other populations, e.g., Southeast Asian, that might need these services).

overall instructional program: districts most often direct the funds to core academic courses, while courses like foreign language or health that occupy a less important niche in most districts' instructional programs receive Chapter 2 support less often.

Although the funds may increase the numbers of overhead projectors, for example, or allow a library to introduce a new cassette series, they are as often a way to maintain library collections under situations where funds are declining or to replace outdated or worn-out equipment. Some examples from our case study fieldwork illustrate what these funds contribute to the respective library programs:

- A district library coordinator in a small Southern city noted that "Chapter 2 funds are about half of our district library budget. It's the only fund we can use to buy filmstrips, records, cassettes, or kits. The district general fund is only for reference books, textbooks, or magazines."
- A middle-school librarian in a medium-sized suburban district described her Chapter 2 purchases: "Last year, it was largely big purchases--books about each state, for example, for the speech classes. There we were updating our collection. Also, animal encyclopedias for science. This year, it's reference books we wouldn't otherwise have had the money for--current biographies, books on the presidents...."

There are exceptions to the patterns we have described. The videocassette recorder (VCR), for example, is a popular piece of audiovisual equipment that school libraries are acquiring with block grant funds. School staff have responded to it as they have to computers, as one middle-school respondent in a suburban district explained:

> "We're in the middle of a video explosion here. When [the VCR] first came, it was not much used. We first thought it was just a good idea, but we were not sure what we were going to do with it. Now the machine is hard to get hold of. We could use another one."

# VI CURRICULUM AND STAFF DEVELOPMENT

Approximately a quarter of the nation's school districts used some or all of their block grant funds to support curriculum or new-program development; a similar percentage supported staff development, as shown in Table VI-1. Together these two activities account for approximately 18% of the total dollars that flowed to districts under Chapter 2 in the 1984-85 school year (see Section III, Table III-3). The attention paid to these kinds of developmental activities represents an important change from the situation under antecedent programs. In this section we discuss each type of activity and summarize relevant findings from mail survey and site visit data.

## Summary

The analyses presented in this section can be summarized as follows. First, regarding the use of block grant funds for curriculum (or new-program) development and staff development in 1984-85, we found that:

(1) A quarter of all districts supported curriculum or new program development in 1984-85 with Chapter 2 funds, devoting in aggregate approximately 9% of all total local block grant funding to this purpose. A similar percentage of districts address staff development with the block grant; these efforts account for an equivalent percentage of total district Chapter 2 dollars.

(2) Large districts are more likely to invest Chapter 2 resources in these activities than smaller ones.

(3) The average amounts of Chapter 2 money allocated to either purpose are modest, ranging from approximately $60,000 per year for curriculum development in the average district with enrollment of 25,000 or more to $2,000 in the smallest districts (enrollment under 600). A similar amount of Chapter 2 funds is devoted to staff development.

Second, regarding Chapter 2-supported curriculum development, we found that:

(4) Chapter 2 supports curriculum development in approximately one and a half times as many districts as under antecedent programs.

(5) The most frequently emphasized subject for Chapter 2-supported curriculum development are core academic areas (reading/writing, mathematics, science, social studies), vocational education, and computer literacy or computer science. The range of subject areas is wide.

(6) Block grant funds are not sufficient for major revamping of curricula in most districts; rather Chapter 2 addresses limited aspects of the curriculum in targeted subject areas.

Third, regarding staff development supported by the block grant, we found that:

(7) For most districts, the coming of the block grant provided the means to augment the number and diversity of staff development offerings. For a few, which had heavily-funded training projects before the block grant, the change to Chapter 2 contributed to the reduction or elimination of these training programs.

(8) Chapter 2-supported training tends to focus on teachers, instruction, and instructional leadership, with emphasis on core academic areas. Training formats vary from one-time workshops to more intensive arrangements (e.g., with repeated training sessions and follow-up); the contribution of this training to improved staff skills is likely to be mixed.

(9) Chapter 2 supported staff development involves the full range of levels from preschool to senior high school; elementary school levels are the most frequent target. In addition to teachers, principals are frequent participants (in two-fifths of these districts). Preservice trainees are rarely included.

(10) A substantial proportion (43%) of districts using Chapter 2 for staff development support retraining in areas of teacher shortage--most often in computer applications, mathematics, and science, but also in special education or ESL/bilingual education.

## Extent of Chapter 2 Support for Curriculum or Staff Development

To provide a context for the discussion, Tables VI-1 and VI-2 present, by size of district, the proportion of LEAs using Chapter 2 for these purposes and the average amounts (and proportions) of Chapter 2 funds involved. As can be seen in Table VI-1, the larger the districts, the more likely they are to engage in either kind of activity. Most very large districts are funding curriculum development or staff development. Across size categories, districts do not tend to put a large proportion of their Chapter 2 funding into these activities, as Table VI-2 shows; except in the smallest districts and in very large suburban districts, 15% or less of the district's annual allocation goes to these activities. Accordingly, the average dollar amounts in the table permit relatively small projects (except in the very large districts): a workshop series for teachers, a summer curriculum writing project with several teachers, etc.

## Curriculum Development

As the analyses in Section III demonstrated, the proportion of districts using funds for curriculum development has increased substantially since the start of Chapter 2. Block grant funds support curriculum development in a wide variety of areas, but the most frequently addressed areas include core academic subjects, vocational education, and computer literacy or computer science. Table VI-3 summarizes the pattern across curricular areas.

Although the general pattern in the table is understandable--courses that have the highest priority in school curricula are favored for curricular work supported by the block grant--several features of the table are worth noting. Curriculum development relating to computer literacy is the second most popular (37% of all districts supporting curriculum development use block grant funds for this); typically, this activity coincides with Chapter 2-supported purchases of computer equipment and is further evidence of the pervasive interest in computer education that block grant funds support. Vocational and business education curricula are also

1

Table VI-1

## CHAPTER 2 SUPPORT FOR CURRICULUM OR STAFF DEVELOPMENT, BY SIZE OF DISTRICT

| District size (enrollment) | Percentage of districts in each size category putting 1984-85 Chapter 2 funds to ... | |
|---|---|---|
| | Curriculum Development | Staff Development |
| Very large (25,000 or more) | 56 | 79 |
| Urban | 50 | 83 |
| Suburban | 62 | 73 |
| Large (10,000 to 24,999) | 49 | 68 |
| Medium (2,500 to 9,999) | 33 | 40 |
| Small (600 to 2,499) | 25 | 27 |
| Very small (under 600) | 18 | 16 |
| All districts | 25 | 27 |

### Table VI-2

### AVERAGE AMOUNT AND PROPORTION OF DISTRICT'S BLOCK GRANT FUNDS FOR CURRICULUM OR STAFF DEVELOPMENT, BY SIZE OF DISTRICT

| | Curriculum development | | Staff development | |
|---|---|---|---|---|
| District size (enrollment) | Median* amount | Median* proportion | Median* amount | Median* proportion |
| Very large (25,000 or more) | $59,714 | 15% | $55,871 | 10% |
| Urban | 44,792 | 10 | 67,188 | 10 |
| Suburban | 78,048 | 20 | 34,559 | 10 |
| Large (10,000 to 24,999) | 10,863 | 10 | 16,817 | 16 |
| Medium (2,500 to 9,999) | 4,200 | 15 | 3,973 | 12 |
| Small (600 to 2,499) | 1,720 | 15 | 2,111 | 15 |
| Very small (under 600) | 1,155 | 32 | 300 | 20 |
| All districts | 2,444 | 19 | 2,250 | 16 |

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*Medians are based on 1984-85 allocations, excluding cases that put $0.00 into each activity.

Table VI-3

## AREAS IN WHICH CHAPTER 2 SUPPORTS CURRICULUM DEVELOPMENT

| | Among districts using 1984-85 Chapter 2 funds for curriculum development, the percentage that supported each of the indicated curricular areas |
|---|---|
| Reading/writing | 42 |
| Computer literacy | 37 |
| Basic skills | 25 |
| Science | 24 |
| Vocational education | 24 |
| Mathematics | 23 |
| Social studies | 21 |
| Business education | 19 |
| Foreign language | 11 |
| Multicultural awareness | 4 (47)* |
| Health | 9 |
| Arts/music | 8 |
| Physical education | 5 |
| ESL/bilingual | 4 (17)** |

---

*Percentage based on districts implementing a desegregation plan in the last 5 years and using Chapter 2 for curriculum development.

**Percentage based on districts with Hispanic student populations, to indicate one type of district likely to have limited-English-proficient (LEP) students. (We had no measure for other types of LEP subgroups.) This percentage decreases, however, as the concentration of Hispanic students increases; only 2% of the districts with student populations that are more than 20% Hispanic develop curricula in the ESL/bilingual area.

surprisingly frequent choices for curricular work (in many cases, this may represent an outgrowth of Career Education program funding prior to Chapter 2). Finally, multicultural awareness curricula are not left out altogether; nearly a tenth of these districts put some of their Chapter 2 funds into this topic area.

Site visits provide examples of the range of curriculum development efforts:

- Chapter 2 funds have allowed a large urban district in a Southern state to continue magnet school curriculum development started under ESAA (although other aspects of the desegregation program were cut back). With the block grant funding, the district has created specialized curricula in different high schools in areas such as the health professions, the arts, business, transportation, and gifted and talented programs.
- Chapter 2 funds in a small urban district in the Midwest support rapid expansion of computer education, including the effort to develop a critical-thinking-skills component.
- In a small rural district in the West, Chapter 2 funds have been used to revise the reading curriculum in grades 1 through 3, in response to the community, which is "up in arms" about poor reading scores.

As with the introduction of computers, one must remember that the scale of this curriculum development activity tends to be small. Typically, districts spend less than a fifth of their block grant resources in this area (See Knapp, 1986).

## Staff Development

Our earlier analysis suggested that the use of federal funds for staff development is considerably more widespread than under antecedent programs, especially in the third year of the block grant. The coming of the block grant has apparently meant several things:

- For most districts using funds in this area, Chapter 2 has enabled the district to augment the number and diversity of staff development offerings.

- For a few districts that had elaborate, heavily funded Teacher Corps or Teacher Center projects before Chapter 2, the block grant contributed to reduction in the scope of these projects or their elimination. However, some districts retained these types of projects under Chapter 2 in their original form. (The median Teacher Center grant in 1981-82, for example, was $28,238 across all districts; the median expenditure under Chapter 2 for staff development in the same districts was $2,399, approximately a tenfold decrease.*)

## Nature of Chapter 2-Supported Staff Development

Staff development aimed at particular subject areas addresses the same range of subjects as the curriculum development activities summarized in Table VI-3, and in much the same order of frequency.

Chapter 2-supported staff development generally can be characterized as focused on teachers, instruction, and instructional leadership, with emphasis on the core academic areas. Table VI-4 summarizes how frequently this staff development is directed toward a range of common purposes and curricular areas. Once again, computer literacy is an especially popular topic, as are reading/language arts, mathematics, and basic skills instruction.

Site visits suggest that the intensity, format, and character of these staff development activities vary widely, from one-time workshops to more elaborate forms of training. Our site visits suggest that, given this range, the actual contribution made by the block grant to staff skills is mixed. It would be a mistake to assume that all the staff development supported by Chapter 2 involved intensive training and follow-up in the manner of programs such as Teacher Corps that preceded the block grant. The following examples from site visits demonstrate the range of training experiences supported by Chapter 2:

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* The latter median value includes districts in which $0.00 was allocated to staff development.

## Table VI-4

## PURPOSES AND CURRICULAR AREAS FOR CHAPTER 2-SUPPORTED STAFF DEVELOPMENT ACTIVITY

| Among districts using 1984-85 chapter 2 funds for staff development, percentage that supported each purpose or curricular area | | | |
|---|---|---|---|
| Purposes of staff development activity | | Curricular Areas | |
| Teaching techniques | 77 | Reading/writing/language | 64 |
| Instructional leadership | 46 | Computer literacy | 41 |
| Subject areas | 40 | Mathematics | 40 |
| General administration | 26 | Basic skills | 36 |
| Needs of special populations | 24 | Social studies/history | 30 |
| Discipline and safety | 22 | Science | 29 |
| Interpersonal skills | 20 | Physical ed. | 13 |
| Intergroup relations | 10 | Health | 12 |
| Student problem areas | 9 | Foreign language | 12 |
| | | Voc./career ed. | 11 |
| | | Arts/music | 11 |
| | | Business ed. | 10 |
| | | ESL/bilingual | 6 (11)* |
| | | Multicultural awareness | 4 (43)** |

---

*Percentage based on districts with Hispanic student populations, to indicate one type of district likely to have limited-English-proficient (LEP) students. (We had no measure for other types of LEP subgroups.)

**Percentage based on districts implementing a desegregation plan in the last 5 years and using Chapter 2 for staff development.

- In a large urban district in the South, block grant funds (from a state discretionary grant) help to support a teacher center that provides training to teachers in conjunction with a local university.
- Block grant funds have augmented the staff development offerings in a large urban district in the West to include computer education, training for first-grade remediation, workshops on drug and alcohol abuse, and an employee wellness program.
- A small Appalachian district contributes Chapter 2 dollars to a consortium of nearby districts, which provides training in microcomputer applications and in strategies for individualizing reading instruction (a local response to impending minimum competency testing in this state).

Table VI-5 shows the types and levels of participants in Chapter 2-supported training activities. Staff development clearly emphasizes inservice training; very few districts use the funds as part of preservice training in the manner of former Teacher Corps projects. Staff at all levels from kindergarten through senior high school participate in the training events (in between three-fifths and four-fifths of the districts); the elementary grades are the most frequent targets of training programs.

## Chapter 2 Support for Teacher Retraining

In a substantial proportion of cases (43% of districts using Chapter 2 for staff development), Chapter 2 supports the retraining of teachers in areas for which they do not have the proper qualifications. We inquired about four areas of teacher shortage: computer applications, mathematics or science instruction, special education, and ESL or bilingual education. The results are displayed in Table VI-6. Curiously, those most likely to use the block grant for retraining were not the largest districts but, rather, districts in the middle and lower end of the district size continuum. Approximately half of the large, medium-sized, and small districts using the block grant for staff development supported retraining efforts.

Training in computer literacy or other applications of the new technology was a major focus of these retraining efforts, followed by mathematics or science retraining.

Table VI-5

TYPES AND LEVELS OF PARTICIPANTS
IN CHAPTER 2-SUPPORTED STAFF DEVELOPMENT

Percentage of districts using 1984-85 Chapter 2 funds for staff development that involved staff of each type or level

| Type of staff | |
|---|---|
| Classroom teachers | 95 |
| Principals | 51 |
| Specialist teachers | 41 |
| Other district-level staff or administrators | 32 |
| Superintendent | 26 |
| Classroom aides | 23 |
| Other service providers | 12 |
| Teacher trainees (preservice) | 1 |

| Level of Participants | |
|---|---|
| Upper elem. (4-6) | 83 |
| Primary (1-3) | 82 |
| Jr. high/middle | 76 |
| Sr. high | 64 |
| Kindergarten | 62 |
| Dist. central office | 35 |
| Preschool | 15 |

## Table VI-6

## CHAPTER 2 SUPPORT FOR TEACHER RETRAINING

| District Size (Enrollment) | Among districts in each size category using Chapter 2 funds for staff development, the percentage that support retraining in... | | | | |
|---|---|---|---|---|---|
| | Computer literacy applications | Math or science | Special education | ESL/bilingual | No retraining |
| Very large (25,000 or more) | 17 | 16 | 5 | 1 (0)* | 68 |
| Urban | 10 | 13 | 0 | 2 (0)* | 75 |
| Suburban | 26 | 19 | 11 | 0 (0)* | 58 |
| Large (10,000 to 24,999) | 34 | 25 | 10 | 7 (15)* | 53 |
| Medium (2,500 to 9,999) | 36 | 17 | 5 | 5 (14)* | 54 |
| Small (600 to 2,499) | 45 | 16 | 5 | 0 (0)* | 44 |
| Very small (under 600) | 13 | 4 | 2 | 0 (0)* | 77 |
| All districts | 32 | 14 | 5 | 2 (5)* | 57 |

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[*] Percentage of districts in each size category which had Hispanic Student populations.

# VII INSTRUCTIONAL AND STUDENT SUPPORT SERVICES

Approximately a quarter of the nation's school districts used some or all of their block grant funds for instructional or student support services, or both (see Table VII-1). This use represents approximately 16% of total 1984-85 LEA flow-through dollars under the block grant (see Section III). These kinds of activities resemble the discrete projects so often funded under antecedent programs (other than ESEA Title IV-B), in which federal funds paid for service-providing staff and often coordinators as well, in addition to relatively small outlays for materials or equipment that might be needed for the project. These kinds of services are often designed for particular types of students, as the analysis of student participation in Section III demonstrated--e.g., educationally disadvantaged students receiving compensatory instruction or potential dropouts participating in a counseling program.

## Summary

The analyses presented in this section can be summarized as follows. First, regarding the distribution of block grant funds to instructional services and student support services, we found that:

(1) These two types of activity are especially prevalent in the largest districts, especially urban LEAs, where the need for a variety of special-needs programs is likely to be high.

(2) Instructional services supported by Chapter 2 occur in approximately one-sixth of all districts, which collectively devote about 8% of total local block grant resources to this purpose. A similar proportion of districts use Chapter 2 funds to pay for student support services; this activity collectively accounts for a similar share of total local expenditures under the block grant.

(3) Because they usually involve staff salaries, instructional and student support services require a disproportionately large investment of block grant resources (as compared with support for instructional materials and equipment).

Second, regarding the nature of instructional services supported by Chapter 2, we found that:

(4) Instruction supported by Chapter 2 is heavily aimed at basic skills, reading, and mathematics; computer literacy is not a major focus. However, in a small percentage of districts, a wide range of curricular areas are addressed.

(5) The most frequent recipients of this instruction are disadvantaged students (in approximately two-fifths of the districts that use Chapter 2 for this type of activity), followed by the handicapped and students judged to be "average" by Chapter 2 coordinators (i.e., those not eligible for specialized programs at either end of the achievement/ability spectrum). Gifted and talented students are the focus of these services half as frequently as disadvantaged students.

(6) The services included in this category of activity typically provide additional support to Chapter 1 programs, remedial instruction for non-target-group students, instruction for the gifted and talented (or other special-needs groups), and compensatory instruction (or other instruction such as in magnet schools) for students affected by desegregation.

(7) At the school level, the services differ from one another, depending on the nature of the clientele served (our data and analyses concentrated on comparisons between remedial services and gifted-and-talented programs). Block grant funds, for example, tend to serve proportionately more remedial students than gifted-and-talented children per school; the remedial services are typically more intensive, with a narrower subject matter range.

(8) The computer plays an equally prominent role in a majority of the school-level services for both remedial and gifted-and-talented students, although the types of computer activities differ considerably.

Third, we found the following about student support services funded by the block grant:

(9) Chapter 2 contributes most frequently to generalized guidance or counseling (e.g., elementary school guidance counselors) and assessment services. More specialized services, like dropout

prevention or drug abuse prevention, are found in a small percentage (13% or fewer) of the districts using funds for this type of activity.

(10) These services aim at a variety of students; in four-fifths of districts, some or all of the services are aimed at "all types of students." When the services are targeted on a particular group, no one group predominates (disadvantaged and gifted-and-talented students, for example, are equally the focus of services).

(11) Under districts facing particular special student support needs--e.g., those brought on by desegregation--block grant funds are often directed to corresponding specialized services.

## Block Grant Support for Instructional and Student Support Services

As one can see in Table VII-1, these kinds of uses of the block grant are most prevalent in the largest districts, especially urban LEAs, where the need for a variety of special-needs programs is likely to be high. One finds these uses less frequently as one moves down the district size continuum, reflecting both the fact that there are fewer students with special needs and that there are fewer funds with which to mount these programs in smaller districts. By comparison with districts' investments in curriculum or staff development, these services are costly and are likely to consume a larger proportion of Chapter 2 funds, as can be seen in Table VII-2, at least for those districts with enough funds to mount a program of any size.

## Instructional Services

This type of use represents an increase in district participation over what was done under antecedent programs, as pointed out in analyses of change or continuity in Section III. Districts have tended to use funds in this area to shore up activities such as programs with flagging budgets (e.g., Chapter 1), provide additional remedial help for one group or another in response to increasing parental concern over student competency testing, supplement existing programs for the gifted-and-talented, or provide

## Table VII-1

## BLOCK GRANT SUPPORT FOR INSTRUCTIONAL OR STUDENT SUPPORT SERVICES, BY SIZE OF DISTRICT

| | Percentage of districts in each size category that put 1984-85 Chapter 2 funds into ... | |
|---|---|---|
| District Size (enfollment) | Instructional services | Student support services |
| Very large (25,000 or more) | 54 | 52 |
| Urban | 62 | 54 |
| Suburban | 44 | 49 |
| Large (10,000 to 24,999) | 36 | 42 |
| Medium (2,500 to 9,999) | 25 | 22 |
| Small (600 to 2,499) | 12 | 17 |
| Very small (under 600) | 13 | 7 |
| All districts | 16 | 15 |

## Table VII-2

## AVERAGE AMOUNT AND PROPORTION OF A DISTRICT'S BLOCK GRANT FUNDS ALLOCATED TO INSTRUCTIONAL OR STUDENT SUPPORT SERVICES, BY DISTRICT SIZE

| | Average (median) 1984-85 Chapter 2 funds* districts in each size category allocate to... | | | |
|---|---|---|---|---|
| | Instructional Services | | Student Support Services | |
| District size (enrollment) | Amount | Proportion | Amount | Proportion |
| Very large (25,000 or more) | $118,432 | 25% | $111,965 | 20% |
| Urban | 137,044 | 25 | 112,149 | 25 |
| Suburban | 75,179 | 20 | 48,267 | 15 |
| Large (10,000 to 24,999) | 13,520 | 14 | 13,114 | 10 |
| Medium (2,500 to 9,999) | 6,389 | 20 | 5,642 | 16 |
| Small (600 to 2,499) | 1,683 | 10 | 1,500 | 10 |
| Very small (under 600) | 444 | 10 | 1,447 | 28 |
| All districts | 2,233 | 10 | 2,417 | 15 |

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*Median amounts and proportions exclude all cases putting $0.00 into each type of service.

compensatory instruction for students affected by desegregation (see Section VIII for a more extended discussion of desegregation-related activities).

### Focus of Instructional Services

Instruction supported by Chapter 2 is heavily aimed at the basic skills, reading, and mathematics, as Table VII-3 demonstrates. Computer literacy is not a major focus,* nor are other core academic areas. As with other uses of Chapter 2 funds, a wide range of other curricular areas are addressed in these programs by a small percentage of districts. The table also identifies the major recipients of this instruction: most often the disadvantaged, followed by the handicapped and, curiously, "average" students (i.e., those not eligible for specialized programs at either end of the achievement/ ability spectrum). A fifth of the districts aim these services at gifted-and-talented students, noticeably fewer than those giving attention to this group in curriculum development supported by the block grant.

Some examples from our site visits capture the range of activities falling in this area:

- Additional support for Chapter 1 programs. A rural Southern district uses the funds to pay part of the salary of tutors working in the Chapter 1 remedial lab (equipped with microcomputers). Chapter 1 funds pay for the rest of these staff salaries.
- Remedial instruction for non-target-group students. A large rural county district in a Northeastern state supports a basic skills program for middle and high school students who have failed the state competency test and are also in schools ineligible for Chapter 1 or state compensatory education funding.
- Instruction for the gifted-and-talented. In one suburban district, Chapter 2 pays for computers used by gifted and talented students for special projects outside of regular class hours.

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*As will be explained later in this section, however, Chapter 2 support for instruction often involves the use of the computer.

Table VII-3

## CURRICULAR AREAS AND TARGET GROUPS INVOLVED IN CHAPTER 2-SUPPORTED INSTRUCTIONAL SERVICES

Percentage of all districts using 1984-85 Chapter 2 funds for instructional services that focused the services on each curricular area or target group

| Curricular Area | | Target Group | |
|---|---|---|---|
| Basic skills | 65 | Econ./educ. disadvantaged | 42 |
| Reading | 62 | Handicapped | 27 |
| Math | 46 | "Average" students | 26 |
| Social studies/history | 22 | Gifted and talented | 20 |
| Science | 22 | Limited English proficient | 15 (29) * |
| Computer literacy | 19 | Dropouts | 9 |
| Voc./Career Ed. | 17 | Desegregated students | 4 |
| Arts/music | 14 | | |
| ESL/bilingual | 9 | | |
| Business education | 8 | | |
| Health | 6 | | |
| Physical education | 5 | | |
| Multicultural awareness | 5 (45)** | | |
| Foreign language | 4 | | |

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*Percentage based on districts with Hispanic subpopulations, to demonstrate the incidence of this curricular emphasis in one type of district likely to serve limited-English-proficient students. This percentage increases with the concentration of Hispanic students: 38% of districts with more than 20% of their students Hispanic aimed Chapter 2 at LEP students.

**Percentage based on districts that have implemented a desegregation plan in the last 5 years and are using Chapter 2 funds for instructional services.

- Compensatory instruction for students affected by desegregation. Chapter 2 funds cover the salaries of 8 reading specialists in one large urban desegregating district (down from 45 specialists under ESAA) who work with children eligible for Chapter 1 services but are not now located, because of busing, in a Chapter 1 school.

Through the school telephone survey and site visits, we examined more closely at the school level two contrasting types of instructional projects. Below, we summarize the results of the comparison.

### Schools-Eye View: Chapter 2-Supported Remedial and Gifted-and-Talented Programs

The block grant allows districts to offer instructional services to both ends of the student achievement/ability continuum. At the school level, these projects differ somewhat in terms of the kind of contribution made by the block grant. Based on our telephone survey sample (n = 178 schools), block grant funds appear to be serving more remedial students per school than gifted-and-talented children; the remedial students tend to be served, somewhat more intensively than their counterparts at the high end of the achievement/ability continuum, as Table VII-4 shows.* On average, a quarter of the schools' students participate in the remedial services, compared with half this percentage in schools with gifted-and-talented programs.

As one might expect, the range of the instructional content in the programs for the gifted-and-talented tends to be wide--reading, mathematics, science, social studies, computer literacy or programming, and arts or music were common choices--while remedial projects tend to be more narrowly focused on basic-skills instruction in reading and math. Similarly, a greater variety of instructional staff are involved in the gifted-and-

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*Schools were chosen randomly from subgroups of the mail survey sample. See Appendix D for a detailed description of the telephone sample.

## Table VII-4

## STUDENT PARTICIPATION IN CHAPTER 2-SUPPORTED REMEDIAL AND GIFTED/TALENTED PROGRAMS

| | Gifted-and-talented programs | Remedial basic-skills programs |
|---|---|---|
| a. Mean percentage of students per school participation program | (n = 91)*<br>13% | (n = 87)*<br>25% |
| b. Hours per week students spend in program | | |
| Percentage of schools schools indicating each time range | (n = 89)** | (n = 85)** |
| Less than 2 hours | 26% | 14% |
| 2 to 4 hours | 37 | 29 |
| More than 4 hours | 37 | 57 |
| | 100% | 100% |

---

[*] Number in parentheses indicates the number of schools in the sample with Chapter 2-supported programs of each type.

[**] Total number of schools is slightly smaller because of missing data.

talented programs--more than half of the schools surveyed indicated that parent volunteers and/or experts from outside the school district worked with the students, in addition to regular classroom teachers or specialists. By contrast, only a quarter to a third of the schools with Chapter 2-supported remedial programs used these kinds of people as instructors, relying instead on classroom teachers, aides, or specialists.

Curiously, as Table VII-5 demonstrates, the computer plays a role in the majority of both kinds of programs (Chapter 2 funds may well have supported the purchase of some of these computers as well as contributing to staffing costs). However, the uses of the computer are often opposite: gifted-and-talented programs supported by the block grant favor using the computer for programming instruction, as a teaching tool (other than for drill and practice), and for student-initiated special projects. Chapter 2-supported remedial programs, on the other hand, emphasize drill-and-practice applications more heavily. These programs are also more likely to use the computer for instructional management or student assessment and diagnosis.

## Student Support Services

The block grant's contribution to student support services seems, for the most part, to emphasize generalized guidance and assessment for the full range of students, as the data in Table VII-6 suggest. Examples from our site visits illustrate what this means:

- A large district took advantage of Chapter 2 funding to install an elementary guidance program where none had existed before. Block grant support covered part of the salary costs for counselors in several elementary schools in the district.
- A smaller rural site used the block grant to pay for upgraded testing and assessment services for the district.

Under certain conditions, however, we found block grant funds directed to more specialized student support needs:

## Table VII-5

## COMPUTER USE IN CHAPTER 2-SUPPORTED REMEDIAL AND GIFTED/TALENTED PROGRAMS*

| | Percentage of schools using computers in program | |
|---|---|---|
| | Gifted-and-talented | Remedial basic-skills program |
| Incidence of computer use | 71%<br>(n = 90) | 70%<br>(n = 87) |
| Type of computer use | (n = 64) | (n = 61) |
| Computer literacy/programming | 75% | 56% |
| Drill and practice | 63 | 93 |
| Used as a teaching tool (not drill and practice) | 73 | 44 |
| Administrative/instructional management | 36 | 53 |
| Student assessment/diagnosis | 31 | 52 |
| Special projects by students | 81 | --** |

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[*] Not necessarily purchased with Chapter 2 funds.

[**] Not asked of both types of programs.

Table VII-6

## TYPES OF SERVICE AND TARGET GROUPS INVOLVED IN CHAPTER 2-SUPPORTED STUDENT SUPPORT SERVICES

Among districts using 1984-85 Chapter 2 funds for student support services, the percentage that supported each type of service or focused the services on the different target groups

| Type of service | | Target group | |
|---|---|---|---|
| Guidance and counseling* | 62 | All types | 82 |
| Testing or assessment | 45 | Econ./educ. disadvantaged | 25 |
| Intergroup relations | 13 | Gifted and talented | 23 |
| Dropout prevention | 13 | "Average" students | 20 |
| Drug Abuse prevention | 7 | Dropouts | 19 |
| | | Handicapped | 19 |
| | | Limited English proficient | 8 (20)** |
| | | Students undergoing desegregation | 5 (49)+ |

---

*Other than counseling related to improving intergroup relations, dropout prevention, or drug abuse prevention.

**Percentage based on districts with Hispanic subpopulations, to demonstrate the incidence of this curricular emphasis in one type of district likely to serve limited-English-proficient students.

+Percentage based on districts that have implemented a desegregation plan in the last 5 years and are using Chapter 2 funds for student support services.

- A very large urban district, hard hit by funding losses under Chapter 2 that coincided with a demanding court-ordered desegregation plan, still used a portion of its block grant allocation to support bilingual coordinators.

- Another large district, also undergoing desegregation, used the funds for elementary school crossing guards to emphasize the district's commitment to student safety in a community that had become nervous about this issue.

As we will discuss in Section VIII, desegregation conditions were especially likely to present districts with specialized student support problems, for which Chapter 2 provided some useful resources.

## VIII DESEGREGATION-RELATED ACTIVITIES

The effects of the block grant on the subset of districts undergoing desegregation is an important special case, which we examine in this section. Because the use of funds for any of the types of activity discussed in the preceding three sections might or might not be related to desegregation goals, we look across all activity areas to try to understand the overall contribution of the block grant to desegregation efforts. We also summarize our findings from survey and site visits concerning the implications for these districts of shifting from the antecedent funding pattern to the block grant mechanism.

### Summary

Our analyses of the block grant's contributions to, and effects on, desegregation concentrated on the universe of districts (18% of all districts nationwide) that had implemented a plan to desegregate schools or reduce racial isolation in the 5 years leading up to the time of data collection (in the 1984-85 school year). A small fraction (approximately one-sixth) of these districts have done so in response to a court or agency mandate. The greatest proportions of these districts are found among districts with enrollments of 10,000 or more (88% of the largest urban districts, for example, had desegregation programs), but between a quarter and an eighth of the districts in smaller size categories have also carried out desegregation efforts. The results of our analyses can be summarized as follows.

Regarding the use of Chapter 2 funds for desegregation-related purposes, we found that:

(1) Most desegregating urban districts with enrollments of 25,000 or more opt to use Chapter 2 to assist with their desegregation effort; the majority in all other size categories do not.

(2) By comparison with what prevailed under antecedent programs, the number of districts using federal funds for desegregation has increased substantially in all size categories.

(3) Although only a slightly smaller proportion of the nation's student population potentially benefits from this funding, much smaller amounts of federal dollars are applied to this purpose in aggregate. The block grant contributes at most a quarter of the amount antecedent programs did to desegregation assistance.

(4) A majority (62% overall) of districts formerly receiving ESAA funds opted to use Chapter 2 for desegregation-related purposes. The percentage is especially high in the largest districts (83% of those in urban areas have done so).

(5) Districts are more likely to use block grant funds for desegregation-related purposes where:

  (a) Desegregation is mandated by a court or government agency.

  (b) The desegregation plan has been in effect for only a few years.

  (c) The concentration of minority students is higher (and, hence, the desegregation plan is more complex).

  (d) The district lost a large amount of desegregation funding in the change from antecedent programs to the block grant.

Second, regarding the kinds of desegregation-related activities that Chapter 2 funds do (and don't) support, we found that:

(6) Block grant funds have been directed primarily to instructional services, student support services, and staff development. Computer applications and curriculum development, by contrast, are infrequent.

  (a) Compensatory instruction for students undergoing desegregation is an especially frequent use of the funds (occurring in 38% of the districts using the Chapter 2 money for desegregation).

  (b) Magnet schools are less frequent (in 14% of these districts).

(7) Districts do not necessarily use all of their Chapter 2 funds for desegregation-related activities. (Sites we visited ranged from those that put virtually all of their block grant funds into this purpose to those that invested only a small percentage of their funding in this way.)

(8) Chapter 2 funds are insufficient to support many aspects of the desegregation-related programs that were formerly funded by ESAA. Many districts have had to reduce staff and services that were supported before by federal funds.

Third, regarding the overall impact of the shift to the block grant on desegregation efforts, we found that:

(9) Local staff perceive the coming of the block grant as either having sharply curtailed local desegregation efforts or having little impact on them, depending on the severity of the desegregation situation faced by the district.

(10) The block grant has allowed districts to apply the funds to achieve desegregation purposes somewhat more flexibly; many have taken advantage of this flexibility.

(11) The increase in students potentially served and the overall decrease in funding applied to this purpose imply a dilution of federal assistance for desegregation.

## Putting the Analysis in Context

The analysis can be done meaningfully only in the context of the Emergency School Aid Act (ESAA), the antecedent program that provided a major source of funding for districts that were particularly hard hit by the problems associated with the desegregation process. This program alone accounted for approximately 36% of the total antecedent funding directly available to LEAs in 1981-82. Only several hundred districts received this aid under ESAA. Because under Chapter 2 the funds are, in effect, spread across all districts in the nation, the loss of discretionary dollars to these districts has been substantial, while many of the problems they addressed remain. At the same time, other desegregating districts that never received ESAA funds now have some federal discretionary money that can be applied to this purpose.

One must carefully define the relevant universe for these analyses. Table VIII-1 summarizes the proportion of districts in each size category that have carried out any activities to desegregate schools or reduce racial

## Table VIII-1

## DESEGREGATING DISTRICTS, BY SIZE OF DISTRICT

| | Percentage of districts in each size category... | |
|---|---|---|
| District Size (Enrollment) | Undergoing desegregation[*] (proportion[+] of students) | Desegregating in response to court or agency mandate[**] (proportion[+] of students |
| Very large (25,000 or more) | 74 (17[+]) | 39 (11[+]) |
| Urban | 88 (12) | 54 (9) |
| Suburban | 55 (5) | 16 (2) |
| Large (10,000 to 24,999) | 34 (6) | 12 (2) |
| Medium (2,500 to 9,999) | 23 (8) | 3 (1) |
| Small (600 to 2,499) | 15 (3) | 1 (0.3) |
| Very small (under 600) | 15 (0.6) | 0 (0.0) |
| All districts | 18 (35) | 2 (14) |

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[*] Defined as "implementing a plan to desegregate or reduce racial isolation in schools within the past 5 years."

[**] The districts in this column are a subset of those in the first column; percentages, however, still refer to the total number of districts in each size category.

[+] Proportion of the total number of students nationwide.

isolation among them in the last 5 years. In addition, the table notes the subset of these that have done so in response to a court order or government agency mandate. These districts are disproportionately distributed among size categories, with the great majority of very large urban districts bearing the largest relative burden. However, as the table makes clear, there are many small districts that have undertaken desegregation activities. To keep the order of magnitude of desegregation effects in perspective, we note in the table the relative percentage of students accounted for by each class of district.

For the rest of this section, all analyses will refer to the set of districts that have undergone desegregation (or subsets of this group, as necessary).

## The Use of Chapter 2 Funds for Desegregation-Related Purposes

Districts have the choice of whether or not to use block grant funds to support their desegregation efforts; many have opted not to. Table VIII-2 displays the proportion that did or did not use Chapter 2 for these purposes. The table also notes the corresponding proportion within each size category that had ESAA funds for these purposes. At the aggregate level, the number of districts using these kinds of funds for desegregation-related purposes has increased substantially in all size categories except the largest (where most of the students affected by desegregation are). There, approximately the same proportion of districts are still using the funds for desegregation-related purposes. The increases in number of districts using the funds for desegregation are not matched by the proportion of the nation's students in these districts, which is slightly smaller than under ESAA. The table does not demonstrate whether an individual district chose to continue its ESAA program; we summarize that effect in Table VIII-3. Although the majority of ESAA districts in all size categories have continued some aspects of their desegregation program, very large urban districts are especially likely to have done so. A cluster of factors affecting these districts contributed to this pattern, as we discuss below.

Table VIII-2

## ESAA AND CHAPTER 2 SUPPORT FOR DESEGREGATION-RELATED ACTIVITIES BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts undergoing desegregation* that funded desegregation-related activities with... (a) ESAA funds in 1981-82 (proportion of nation's students) | (b) Chapter 2 funds in 1984-85 (proportion of nation's students) |
|---|---|---|
| Very large (25,000 or more) | 66 (13.5**) | 64 (10.5**) |
| Urban | 70 (10.5) | 73 (7.5) |
| Suburban | 57 (3.0) | 43 (3.0) |
| Large (10,000 to 24,999) | 26 (1.5) | 39 (3.0) |
| Medium (2,500 to 9,999) | 24 (3.0) | 33 (3.0) |
| Small (600 to 2,499) | 6 (0.2) | 18 (0.5) |
| Very small (under 600) | 0.0 (0.0) | 29 (0.1) |
| All districts | 13 (18.2) | 29 (17.1) |

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[*] Defined as "implementing a plan to desegregate schools or reduce racial isolation in schools within the past 5 years."

[**] Proportion of the total student population nationwide.

Table VIII-3

### PROPORTION OF FORMER ESAA DISTRICTS OPTING TO USE BLOCK GRANT FUNDS FOR DESEGREGATION-RELATED PURPOSES, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts that had received ESAA funds in 1981-82 and opted to use Chapter 2 funds for desegregation-related purposes |
|---|---|
| Very large (25,000 or more) | 77 |
| Urban | 82 |
| Suburban | 64 |
| Large (10,000 to 24,999) | 73 |
| Medium (2,500 to 9,999) | 59 |
| Small (600 to 2,499) | 67 |
| Very small (under 600) | 0 |
| All districts | 66 |

What factors led districts to apply the block grant to desegregation needs? Our analyses suggest several important things:

- The presence of a court or agency order. External mandates for desegregation left districts little choice; because such districts were chronically short of funds, there were few alternatives but to use what the block grant provided to continue as much of the prior desegregation effort as possible (although, even so, there were sometimes changes in the kinds of activities supported).

- The longevity and success of the district's desegregation efforts. Some districts had been in the process of desegregating for a long time and felt they had achieved most or all of what their plans called for. In such cases, the districts were likely to have shifted to other activities anyway.

- The degree of minority concentration and the extensiveness of the desegregation plan. Districts that opted to continue using Chapter 2 funds for desegregation-related purposes tend to have more extensive minority populations and consequently larger, more complex desegregation plans. On average, those that put block grant funds into other activities have only 10% of their student populations from minority backgrounds, as compared with 30% in districts which continued desegregation-related activities.

- The degree of funding loss. Districts losing considerable money in the transition to the block grant were understandably less likely to shift the remainder away to non-desegregation-related activities.

## What the Block Grant Supports (and Does Not Support) in Districts That Use the Funds for Desegregation

In those districts that have opted to use some or all of their Chapter 2 funds to aid desegregation, the funds have been directed primarily to instructional programs, student support services, and staff development, as Table VIII-4 summarizes. By contrast with other districts in the nation, proportionately few of these districts put block grant funds into computer applications or curriculum development. The table details the types of programs included in these. Compensatory instruction for students affected by desegregation (forbidden under ESAA rules in the last years of this program) was an especially common use of the funds, as are teacher training and teacher support programs. Magnet schools--a major focus of ESAA funding before it was folded into Chapter 2--are supported by block grant funding in surprisingly few districts.

## Table VIII-4

## WHAT CHAPTER 2 SUPPORTS IN DISTRICTS THAT USED THE BLOCK GRANT FOR DESEGREGATION-RELATED ACTIVITIES

| Among districts using Chapter 2 funds for desegregation, percentage that indicated... | | | |
|---|---|---|---|
| Activity was explicitly aimed at students (or staff) undergoing desegregation[*] | | Chapter 2-supported desegregation efforts included the following: | |
| Instructional services | 57[**] | Compensatory instruction | 38[**] |
| Student support services | 49 | Teacher training/support | 31 |
| Staff development | 31 | Community liaison | 15 |
| Computer applications | 22 | Dropout prevention | 15 |
| Curriculum/new-program development | 20 | Magnet schools | 14 |
| | | Discipline/school safety | 12 |
| | | Human relations/ counseling | 11 |
| | | Planning/monitoring | 9 |

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[*] We exclude our sixth major activity category--support for libraries and media centers--because it rarely bore any direct relationship to desegregation goals. For each of the five activity areas above, mail survey respondents could indicate whether the activity was specifically aimed at students or staff undergoing desegregation, among other target groups.

[**] The percentages in each column should be interpreted as follows: "57% of the districts using Chapter 2 funds for desegregation assistance supported instructional services explicitly aimed at students undergoing desegregation," etc.

Districts did not necessarily use all of their annual Chapter 2 allocation for desegregation-related activities, however. We profile below four large districts we visited that capture the range of desegregation situations and local responses to block grant funding among districts that chose to use the block grant in this area.

| | Uses of block grant funds, (excluding administration or evaluation) | |
|---|---|---|
| | Desegregation-related | Not desegregation-related |
| District A (over 30,000 students, voluntary plan, 84% loss from antecedents) | Elementary magnet program ($349,539) | Parent Readiness Education Program ($4,996)<br>Computer literacy ($4,395) |
| District B (over 60,000 students, court-ordered plan, 54% loss from antecedents) | TV studio (part of magnet program) ($134,793)<br>Alternative to suspension program ($134,793) | Library support ($113,899)<br>Arts in Education ($17,896)<br>Career Education ($6,488)<br>Parent Volunteer Program ($26,907) |
| District C (over 100,000 students, court-ordered plan, 40% loss from antecedent programs) | Human relations program ($862,222)<br>Magnet school curriculum development ($385,583) | Coordination of LEP services ($121,072)<br>Regional consortium providing staff development ($150,717)<br>Teacher Education Center ($11,730)<br>Computer software ($6,000) |

|  | Uses of block grant funds, (excluding administration or evaluation) |  |
|---|---|---|
|  | Desegregation-related | Not desegregation-related |
| District D (over 60,000 students, voluntary plan, 362% gain over antecedent funding) | Busing assistance $37,659 | Counseling and guidance center ($223,999)<br>Library/media center ($283,333)<br>Professional development center ($172,272) |

Where Chapter 2 supports desegregation-related activities, it tends to support a relatively small proportion of the desegregation program. For most larger districts this proportion is much smaller than what federal funds paid for under ESAA. The same four districts described above provide examples of what the block grant does not support that was formerly covered by federal funding:

|  | Chapter 2 does not support the following aspects of the desegregation program that were formerly funded under ESAA: |
|---|---|
| District A | Main elementary-level components eliminated: full-day kindergarten, counselors, resource teachers who provided inservice, materials, money for field trips. |
| District B | All direct instructional services have been dropped. The number of aides involved in in-school suspension program has been greatly reduced. |
| District C | Bilingual specialists reduced; resource teachers were dropped. Community liaisons, teacher aides, staff development have also been cut. |
| District D | (Not applicable; district did not receive ESAA funds.) |

Chapter 2 funds used for purposes unrelated to desegregation could have been applied to these purposes, but they would not come near to paying for what was offered before.

## Impact of the Block Grant on Desegregating Districts

In the largest districts facing complex desegregation situations (almost all of which were ESAA districts), the impact of the shift to the block grant is clear and profound: the coming of Chapter 2 forced sharp reductions in a heavily funded and generally valued program. This reduction followed two successive years of ESAA cutbacks that had eliminated more than half of the federal outlays for this program. The fact that many of these districts found themselves allocating an increased share of their funds to private schools (see Section XV) further complicated this situation. The difficult fiscal condition of many such districts gave them few options for coping with the change.

One must set against this loss the districts, primarily smaller to medium-sized, that gained additional resources with which to address desegregation purposes. The net result, summarized in Table VIII-5, can be summarized as follows: a larger number of districts serving approximately the same number of students address desegregation purposes with fewer federal dollars (the exact reduction in funding applied to this purpose cannot be determined precisely from our data, but it is at least four times less). In other words, federal funding in this area has been spread very thin, producing in effect a dilution of federal assistance to this area. There has also been some increase in flexibility in the use of desegregation assistance dollars, which is appreciated. However, this, too, is often offset by the reduced amount that district decisionmakers have to work with.

In the broader perspective of all desegregating districts, the impact of the block grant on desegregation efforts has been mixed. That is, when one includes all desegregating districts (most of which are smaller, and many of which do not face severe desegregation situations), the pattern seems to be that the block grant had relatively little effect on desegregation, as Table VIII-6 indicates. The pattern in the table is explained partly by the fact that the majority of desegregating districts do not use Chapter 2 for this purpose and also that the severity of the

## Table VIII-5

## NET EFFECT OF THE BLOCK GRANT ON FEDERAL DOLLARS APPLIED TO DESEGREGATION AND ON THE PERCENTAGE OF DISTRICTS AND STUDENTS INVOLVED

| | Under ESAA in 1981-82 | Under Chapter 2 in 1984-85 | Change |
|---|---|---|---|
| Percent of desegregating districts that used federal funds to address desegregation | 13% | 29% | +223% |
| Total federal funding applied to desegregation-related purposes (percent of total antecedent or block grant funds at the local level) | $145,296,973<br>(36%) | $37,891,304*<br>(11%) | - 74% |
| Proportion of nation's students in these districts | 18.2% | 17.1% | - 6% |
| Per-pupil federal support for desegregation assistance** | $20.35 | $ 5.64* | - 72% |

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*This is a maximum estimate, calculated by subtracting library/media center allocations from the total amount the district received, and assuming the rest could have been aimed at desegregation assistance of some kind. The actual figure is less because districts tended to use Chapter 2 funds for various purposes unrelated to desegregation, as previously discussed in text.

**Calculated by dividing the aggregate dollar figure above by the estimated total enrollment in the districts receiving the funds.

## Table VIII-6

## PROBLEMS EXPERIENCED UNDER THE BLOCK GRANT, FOR ALL (AND SUBSETS OF) DESEGREGATING DISTRICTS

| Types of Problems Experienced Under the Block Grant | All districts undergoing desegregation | Districts desegregating under court order | Districts formerly receiving ESAA funds | Very large urban districts |
|---|---|---|---|---|
| | Percentage of districts reporting each type of problem experienced under the block grant, for... | | | |
| a. General problems attributed to Chapter 2 | | | | |
| None | 75 | 52 | 21 | 17 |
| Fewer funds than under antecedent programs | 13 | 28 | 66 | 67 |
| Lost staff | 5 | 15 | 32 | 46 |
| Can't provide as many services | 8 | 19 | 42 | 49 |
| Has to provide more funds for private school students | 4 | 11 | 23 | 44 |
| b. Problems specific to desegregation efforts | | | | |
| None | 78 | 66 | 29 | 29 |
| Elimination of desegregation-related activities | 8 | 4 | 14 | 10 |
| Reduction of desegregation-related activities | 7 | 14 | 46 | 37 |
| Required LEA to seek other funding sources to maintain desegregation program | 4 | 11 | 30 | 36 |
| c. Other effects on desegregation efforts | | | | |
| Helped LEA to initiate or expand desegregation efforts | 5 | 14 | 7 | 9 |

desegregation situation varied greatly across districts of differing sizes, minority populations, and fiscal conditions. The table also demonstrates that districts under more adverse circumstances--those under court order, those that lost heavily from former ESAA grants, and those in urban settings with enrollments of 25,000 or more--experienced progressively more problems with the shift to the block grant.

# IX EDUCATIONAL IMPROVEMENT*

In this section, we summarize our analyses of the block grant's effects on educational improvement. We first define the term, then summarize evidence regarding what Chapter 2 may have contributed to improvement in instructional materials and equipment and to the development of curricula or staff. A discussion of Chapter 2 as a stimulus for innovation and to schoolwide planning and coordination follows. We conclude the section by discussing possible consequences of districts' improvement efforts under the block grant.

## Summary

The analyses in this section can be summarized as follows. First, with regard to improvement in equipment and materials:

(1) A majority of districts in all size categories are using some or all of their Chapter 2 money to support computer-based instruction of some kind (typically through the purchase of computer hardware or software). This pattern represents a dramatic increase over what was done under antecedent programs. This increase is not attributable solely to block grant funds, but has been more extensive than would have been the case without Chapter 2 money.

(2) Block grant support for other forms of instructional materials or equipment (e.g., for libraries, media centers, and other school departments) is as extensive as for computers, but is not as clearly related to educational improvement as defined here.

Second, with regard to improvement in curriculum, we found that:

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*This section is adapted from another report from the National Study (Knapp, 1986).

(3) Approximately a quarter of the nation's school districts put some or all of their Chapter 2 money into curriculum development, nearly one and a half times the number that did so under antecedent programs.

(4) The payoff of these projects cannot be determined at this time; typically, Chapter 2-supported curriculum projects have been modest in scope.

Third, regarding the block grant's contribution to staff improvement, we found that:

(5) Chapter 2 funds have contributed to a doubling of the number of districts in all size categories that are using these funds for staff development, by contrast with antecedent programs. The funds support training (often retraining programs in areas of teacher shortage) that is aimed largely at teachers' skills and knowledge in core academic areas, and also at instructional leadership.

(6) The actual contribution of the funds to significant improvement in staff skills is probably mixed, reflecting the range in training activities from one-time workshops to elaborate and intensive training.

Fourth, regarding schoolwide coordination and planning, we found that:

(7) The block grant appears to do little to stimulate schoolwide coordination and planning (with some exceptions in the case of minigrant and computer education programs).

Fifth, regarding the contribution of the block grant to the local process of innovation, our analyses indicate that:

(8) Block grant funds contribute widely to the start-up of new programs--in approximately half of the districts nationwide--half of which view the block grant as "seed money." This is especially true where leadership encourages innovation, the block grant has increased discretionary dollars, and there are few alternative sources of support.

(9) The pattern of new program start-up differs in some respects from the pattern of innovative projects that prevailed under ESEA Title IV-C: block grant funding apparently elicits at least as wide a range of project ideas, but planning and evaluation of project results are not as consistently structured or as systematic.

Sixth, with regard to the concentration or dispersion of funds to achieve educational improvement, our analyses suggest that the effect of the block grant may be somewhat dilute because:

(10) There is a pronounced tendency for districts to spread block grant resources across all schools or students rather than concentrating on the needs of a few. This tendency is due to various factors, among them local political pressures, patterns established under antecedent programs, and educators' belief in the value of serving all children equally.

(11) Across the 3 years of the block grant, resources have tended to become more widely spread among various activity categories, even though the total amount of local Chapter 2 funding has remained approximately the same.

(12) This dilution of improvement efforts may be somewhat offset by the block grant's leveraging effects (which exist, but for which we cannot estimate the incidence nationwide).

## The Meaning of Educational Improvement

We made a working definition of this global goal by considering any effort to upgrade equipment and materials, develop curricula or train staff, add to staff, innovate or experiment with instructional approaches and programs, or stimulate schoolwide coordination and planning as "improvement-oriented activity." We assumed that some kind of "improvement" was more likely to occur where we found evidence that the quantity of staff or appropriate materials had increased, new or different approaches were being tried, the activities were related to the central academic mission of the schools, and the practices in question were associated with widely agreed-on conditions for student learning (motivation, time spent on task, etc.). We recognized that Chapter 2 funds are often not the only source of support for these activities, but if we found evidence that what the block grant purchased could not have been supported in other ways and that this support was not trivial, then we presumed that it had (or was likely to have) contributed to educational improvement.

Our approach to this topic thus relied on indirect evidence, based on the belief that it was neither appropriate nor feasible to assess the direct contribution of block grant funds to student outcomes. Chapter 2 funding is too often a small part of a larger instructional program, such that the unique contribution of the funding is hard or impossible to isolate. Given the wide range of uses under the block grant, one is also hard put to aggregate across districts the increments of direct effect on students, or even across uses within a single district. Finally, the effects on student outcomes of many--if not most--uses of the block grant are not likely to manifest themselves in the short term, if they can be detected at all.

## Improvement in Instructional Equipment and Materials, Curriculum, and Staff Expertise

By the definition we have just described, there is evidence that the block grant has contributed to various aspects of the instructional system that influence what and how much students learn. The three areas in which Chapter 2 funds have made the biggest contribution are:

- Instructional equipment and materials
- Curriculum development
- Staff development.

We briefly summarize our analyses of improvement in each of these areas below.

We preface our discussion by noting that the scale of the block grant's contribution to each area is generally small, when judged in terms of the overall district budget. Typically, this means that the block grant funds purchase one or a few computers for a school (or sometimes equip a computer lab when the district concentrates funds on a certain level of school), helps a district revise the curriculum in one subject area for a particular grade or two, or supports three or four 1-day workshops on a particular topic of interest. At the level at which the benefit of funds was received, however, local educators consider this contribution to be fairly important.

## Improvement in Equipment and Materials

As described in Section V, Chapter 2 funds have provided widespread support for the introduction of computer technology into the instructional programs of districts and schools of all sizes nationwide. The use of block grant funds for computer-related purchases represents a dramatic increase from what prevailed under the antecedent programs and also what would realistically be possible without Chapter 2 support.

For most districts, these computer hardware and software purchases represent a step into a new mode of instruction. Although block grant funds are not the only way districts purchase computers, or necessarily the first source of funding for this type of purchase, the real increases in discretionary dollars that most districts have experienced under the block grant and the flexibility allowed in use of the funds have helped many districts to make a quantum jump in the numbers of computers and related software available to students and staff.

Has the introduction of computers contributed to the quality of the instructional program? Although a study of this kind can offer no definitive answers to this question, the following kinds of evidence suggest that some improvement is taking place: (1) Chapter 2-purchased computers are being used; (2) the level of excitement about computer technology is high among students and many staff; (3) computer hardware and software is mostly being used for instruction in core academic areas, rather than for peripheral areas of the school curriculum; (4) the purchase of computer technology is often linked to Chapter 2-supported curriculum or staff development.

Other forms of material and equipment purchase follow the pattern established under ESEA Title IV-B--these funds most often are used to

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supplement the materials and equipment in libraries and media centers, at both the school and district levels. It is more difficult to make the case that these funds contribute heavily to "educational improvement" as defined here, however important the funds may be to their respective library or media center programs.

### Curriculum Improvement

Although it is difficult to assess the quality of Chapter 2-supported curriculum development efforts currently in progress, the block grant has clearly enabled a large number of districts to try to upgrade some aspect of the curriculum. Various kinds of evidence suggest that the block grant is likely to contribute to improvement in this area, by the definition we have used:

- As summarized in Section VI, a greater number and diversity of districts are engaging in curriculum development under the block grant than under antecedent programs (even though more small or medium-sized districts are involved, the number of students in these districts has not decreased).
- Curriculum development supported by the block grant tends to concentrate on core academic subjects, especially in areas widely considered to be high-priority subjects, such as computer literacy or computer science, mathematics, and natural sciences. In some districts, Chapter 2-supported work also includes local software development intended to adapt computers to local instructional needs.
- The curriculum development supported by the block grant does not seem to be isolated, but rather is linked to other aspects of the instructional system supported by the block grant--e.g., staff development and equipment purchases.

In most cases, it is too soon to say whether these attempts to make the curriculum better are, in fact, improvements, but at least the effort is being made.

## Upgrading Staff

As the analyses in Section VI showed, staff development has become an area of increasing attention under the block grant. This kind of support represents an expansion in the amount of training offered under antecedent programs, although the intensity of the training supported by Chapter 2 now varies greatly (for example, relatively few districts mount the kind of elaborate staff development programs that took place under the Teacher Corps program before it was folded into Chapter 2).

Several features of this staff development activity as a whole suggest that it is likely to improve the capabilities of school instructional staff:

- Almost all the staff development supported by Chapter 2 is aimed at teachers, although other types of staff often are included.
- In nearly half the districts using Chapter 2 funds for staff development, the block grant has supported retraining of underqualified teachers in areas of shortage such as mathematics, science, and computer applications.
- Staff development concentrates on instructional issues--for example, training in particular subject areas (40% of the districts using Chapter 2 for staff development), in teaching techniques (in 77% of these districts), and in instructional leadership (in 45% of these districts).

## Innovation and School-Level Coordination

The block grant may have contributed as much to the process of developing local solutions to educational problems as to materials and equipment, curricula, or staff. Accordingly, we tried to determine whether the block grant had encouraged experimentation or innovation within school districts--a role analogous to the "seed money" function of projects funded under ESEA Title IV-C--and whether the current situation represented a change from the situation under antecedent programs. We also examined effects on school-level coordination and planning.

## Chapter 2 as a Stimulus for Innovation

Block grant funds are used to start new programs in a majority of districts and often are viewed as "seed money"; Table IX-1 summarizes relevant mail survey findings. Analyses presented in Section III and in another report from the study (see Turnbull and Marks, 1986) document that, across all district size categories, most districts are likely to have used

Table IX-1

USE OF CHAPTER 2 FUNDS TO START NEW PROGRAMS, AS SEED MONEY AND TO FUND MINIGRANTS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Allows districts to start new programs | Are viewed as seed money | Are used for minigrant programs |
|---|---|---|---|
| Very large (25,000 or more) | 67 | 47 | 15 |
| Urban | 59 | 45 | 17 |
| Suburban | 77 | 49 | 13 |
| Large (10,000 to 24,999) | 77 | 44 | 13 |
| Medium (2,500 to 9,999) | 60 | 37 | 3 |
| Small (600 to 2,499) | 66 | 35 | 4 |
| Very small (under 600) | 44 | 16 | 2 |
| All districts | 56 | 28 | 3 |

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block grant funds to support an activity for which they had not used antecedent program funding (in addition to continuing support for some prior activities). The finding still holds even when one discounts support for computer technology, which has been a new venture for many districts. Although, strictly speaking, not all "new" programs are innovative, there is considerable evidence that districts use some of their block grant money to try out things they have not done before.

Our site visit data suggest that the block grant supports a local process of innovation in at least three ways:

- By providing additional means to support districtwide planning of new departures in the instructional program, such as computer education or, less frequently, larger-scale curriculum development.
- By giving creative administrators (e.g., the superintendent, some Chapter 2 coordinators) some money with which to encourage experimental programs--as one superintendent put it, a way to fund things "that probably would not happen unless a philanthropist moved into town." (This kind of "risk money" was sometimes necessary to persuade conservative school boards to try something out.)
- By supporting formal innovation processes at the local level, e.g., local minigrant programs (see Table IX-1). Modeled by ESEA Title IV-C programs administered at the state level, minigrant programs invite school-level staff to propose ways for small amounts of district Chapter 2 funds to be used.

There is no simple way to assess whether the number of districts using funds to further the process of innovation has changed since before Chapter 2, but we approximated the change by comparing the number of districts that received ESEA Title IV-C funds with those viewing block grant funds as seed money and/or using it to start new programs. Although there is some variation across size categories, the comparison suggests that more districts are using funds to support an innovative or experimental project under the block grant than before (see Knapp, 1986).

On the basis of our site visit data, we can make several assertions regarding the block grant as a stimulant for innovation. First, the presence of relatively unfettered funds often attracts interest and even local competition for these funds. There appears to be no lack of ideas about what to do with the money. This is especially true in districts that set up minigrant arrangements, but is also the case in a variety of other districts.

Second, the design of experimental projects is often subsumed within larger school and district planning processes, especially where the funds support a part of a larger program, such as a districtwide computer education plan. Third, there is little evidence of systematic documentation or evaluation of project results beyond formative feedback for local purposes, except in larger districts with established evaluation units and a tradition of formal evaluation.

Fourth, Chapter 2 funds are most likely to contribute to innovation where:

- Chapter 2 has increased the level of funds that had been available under antecedent programs. Because innovations are typically seen (initially) as something "extra," it helps for districts to feel that they have additional funds to experiment with. The reverse is painfully obvious in large districts that lost considerable money under the block grant. As one Chapter 2 coordinator in a large urban district that had lost a great deal of ESAA funds put it, "Chapter 2 stimulated nothing. No, it was a funeral pall--just survival planning."

- District leadership actively encourages innovation and views the block grant as money to experiment with. The block grant clearly provided the opportunity for leadership initiative. One superintendent explained to us: "I use Chapter 2 to get things started around here."

- There are no (or few) alternative ways to support innovation. It is not unusual to find districts experimenting with other funds (e.g., state improvement grants) while using Chapter 2 for fairly routine activities. On the other hand, in districts with fewer grants or opportunities and tighter budgets overall, the chance to have some discretionary funding for out-of-the-ordinary programs is much appreciated.

- Local funds are managed conservatively. Not all districts are willing to take risks with local funds. In site visits, we encountered various examples of district administrators who had argued successfully for starting new ventures (such as those involving computers) because "soft money" was available for this purpose.

## School-Level Coordination and Planning

Although a majority of mail survey respondents describe their uses of Chapter 2 funds as contributing to "schoolwide improvement" and approximately a quarter indicate that the block grant helps to implement "school-level programs based on effective schools research," the block grant has apparently done little to stimulate the coordinated school-level instructional planning that is widely believed to be one key to improved education. Much of the innovative activity described above happens at the district level (minigrant programs are a partial exception); in general, the decisionmaking about the uses of the block grant is controlled by district-level staff (see Section XI for a more extensive discussion of decisionmaking). What does go on at the school level--computer-based instruction, workshops on instructional leadership, or whatever--may contribute to better instructional programs, but not necessarily to the school-level *process* of improvement.

## The Dilution of Improvement Efforts

The overall pattern we have been describing--a larger number and broader range of districts participating in improvement-oriented activities under the block grant--has a possible consequence worth noting. There appears to be a tendency under the block grant to provide "a little something for everyone," rather than concentrating resources in ways that may benefit fewer students (or districts) more intensively.

Our analyses suggest this pattern in various ways (see Knapp, 1986). First, except in very large districts, there is a tendency to serve all schools in a district rather than some. Paralleling this pattern, districts tend to direct block grant funds toward activities that benefit all kinds of students rather than selected target groups. This happens almost by definition where funds support libraries, media centers, or other schoolwide activities. But respondents indicated that other improvement-oriented activities, such as the introduction of computers or the development of new curricula, were aimed mostly at "all types of students" rather than particular target groups. Finally, even though the total amount of funds distributed to the local level has not changed appreciably in the 3 years of Chapter 2, districts seem to be allocating their block grant funds to an increasing number of activities over time. By comparison with the preceding year, districts tend to use their funds in an increasing number of areas, as shown in Table IX-2.

The implication of these patterns may be that the effects of block grant funding on educational improvement are, or are becoming, dilute. This dilution can mean the following at the local level:

- All the students in the school get to use the new computers for a few minutes each week.
- All the schools in a district receive a small addition to their library fund, but one that is insufficient to purchase major new items.
- Experiments being tried in one year are abandoned the next for lack of follow-through.

The result may be that at present levels of funding (averaging between $7 and $9 annually per pupil) the block grant makes what most local educators perceive to be a relatively small contribution to their instructional programs. Nonetheless, we frequently found that the relatively small amount of funds was considered important--even essential--from the point of view of district staff most closely affected, such as a school librarian, a third of whose materials budget might be coming from block grant funds.

Table IX-2

CHANGE OVER TIME IN THE NUMBER OF ACTIVITY CATEGORIES SUPPORTED

| | Percentage of districts allocating block grant funds to... | |
|---|---|---|
| School Year | 2 or more of the 6 major activity categories* | 4 or more |
| Under antecedent programs | | |
| 1981-82 | 41 | 7 |
| Under Chapter 2 | | |
| 1982-83 | 48 | 11 |
| 1983-84 | 51 | 11 |
| 1984-85 | 69 | 18 |

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* As discussed in Sections III-VII: computer applications, library and media center support, curriculum development, staff development, instructional services, student support services.

The fact that block grant funds are spread thinly across many districts and uses may be offset, to some extent, where these funds "leverage" other resources. During our site visits we encountered examples of three types of leveraging: as local matching funds, as funds to match state resources, and as project "start-up" funds (that is, if successful, experiments initially started with block grant funds can attract future funding from other sources, such as the local district budget). Although we have no national data to indicate the incidence of these uses, the analyses of "seed money" effects reported above suggest that at least the third kind of leveraging may be widespread.

# PART THREE

## LOCAL ADMINISTRATION AND DECISIONMAKING

This part of the report deals with the administration of local Chapter 2 funds and with the decisionmaking associated with the uses of these funds. Separate sections present findings on:

- The nature of administration and associated burdens or costs (including a discussion of burden reduction) (Section X).
- Local decisionmaking processes (Section XI).
- Consultation with parents and citizens and other aspects of their involvement in decisionmaking (Section XII).
- Local evaluation of Chapter 2 and the activities it supports (Section XIII).

### Highlights of Major Findings in This Part

The most important findings from the analyses reported in this part are presented below (more detailed summaries of findings appear at the beginning of each section).

### Local Administration: Tasks, Costs, and Burdens

- The nature of Chapter 2 coordinators. Across districts, a variety of staff have responsibility for administering Chapter 2, and they typically do so as one of several administrative assignments.
- The workload associated with administering the block grant. The block grant typically implies a light administrative load. Some administrative tasks are likely to be burdensome under certain conditions,, however, such as administering services for private school students in larger districts (which have a greater number of eligible private schools).

- Administrative costs. Most districts with enrollments less than 10,000 do not use the block grant funds to cover the costs of administering Chapter 2; most larger districts do. Nationwide, only a small percentage (about 5%) of Chapter 2 dollars support administration. Lack of reimbursement for administrative costs is not widely perceived to be a problem.

- Change in administrative burdens. For most districts, the shift to the block grant has reduced administrative burdens and (to the extent we could determine) the actual workload of administrators. In most other districts (approximately a third of all districts) respondents see little change from antecedent programs (typically, because neither the block grant nor what preceded it are thought to be very burdensome).

## Local Decisionmaking Process

- Control over decisions to allocate block grant funds. Decisions about what to use Chapter 2 funding for are typically controlled by one or a few district-level administrators. School staff, school board members, and parents or other community members tend to play little role in these decisions, although there are some important differences by size of district (e.g., teachers and principals seem to be more influential in smaller districts, which typically consist of one or two schools).

- Relationship to other decisionmaking processes. Decisions about the use of Chapter 2 funds are generally made as part of larger, ongoing processes related to programs serving special needs or to the district's educational programs as a whole.

- Decisions about the implementation of block grant-supported activities. These are typically the province of school staff, with varying degrees of input from district coordinators or other staff, and occasionally from knowledgeable community members. The individuals most involved in these decisions depend on the type of activity supported and the local arrangements for carrying out these activities.

## Parent and Citizen Involvement in Decisionmaking

- District efforts to consult with parents or citizens. Districts tend to rely on school board meetings, existing advisory groups, or PTA meetings to satisfy the requirement that parents be systematically consulted about the use of block grant funds. The more ways districts attempt to involve parents, the more likely that parents actively participate. District actions reflect the relatively small amounts of money involved, traditions established under antecedent programs, district philosophies about maintaining distance from the community, and the lack of explicit regulations or monitoring from higher levels of government.

- District actions to inform the public. Districts tend to invest little in efforts to inform the public about Chapter 2 and what these funds do (or can do) locally. As with consultation mechanisms, the more ways districts try to communicate with the public about Chapter 2, the more active parents and citizens tend to be.

- Extent of parent involvement in decisionmaking. Parents and other community members tend not to be heavily involved in Chapter 2 decisionmaking, nor do they actively seek to participate, in the majority of districts. Chapter 2 coordinators attribute this generally low level of participation to the following:

  - The relatively small amount of funds.
  - The perception that local citizens are satisfied with current programs.
  - The fact that program goals often have not changed much since antecedent programs.
  - General lack of interest or awareness among community members.

  Lack of effort by districts in many cases appears to be equally responsible.

- Influence of the community on decisions about Chapter 2. Although there is little evidence of direct influence by parents on decisions about Chapter 2, there is some indication that districts make decisions about the block grant in response to salient concerns voiced by some elements of the community.

Local Evaluation

- Nature of local evaluation under Chapter 2. Formal evaluation is relatively unusual; more often, districts collect simple statistics or else gather informal feedback for internal use only. Structured evaluation of block grant support is most likely in larger districts (which have more to evaluate, and more resources and expertise to do so).

- Audiences for Chapter 2 evaluation. The district superintendent and the state education agency are most frequently mentioned as expressing an interest in evaluative information about what is done with Chapter 2 funds. Interest among parents, other community members, or private school officials typically is low. Respondents in a quarter of all school districts indicate that nobody has expressed an interest in evaluations of Chapter 2.

- Influences on local Chapter 2 evaluation. Other than audience interest, five factors appear to have an important role in shaping what is (and is not) done to evaluate Chapter 2 at the local level:

  - State requirements (which vary from extensive application requirements to nothing at all).
  - Local traditions and beliefs about the value of evaluation.

- The amount of resources available for evaluation from Chapter 2 (or elsewhere).
- The availability of local expertise.
- The type of activity supported by the block grant (some of which are widely thought to be impossible or not meaningful to evaluate, such as support for libraries and media centers).

. Use of Chapter 2 funds for evaluation. Only the largest districts use Chapter 2 funds for evaluation activities in significant numbers.

# X LOCAL ADMINISTRATION: TASKS, COSTS, AND BURDENS*

In this section we describe the administrators who are in charge of Chapter 2 coordination at the local level. We then explore the nature of the tasks they perform under the block grant and the administrative load these tasks entail. Next, we discuss administrative costs, noting the extent to which these are considered a burden for districts. Finally, we examine changes in administrative burden from antecedent programs to the present.

## Summary

Our analyses in this section can be summarized as follows: First, regarding the kinds of people who administer the block grant locally, we found that:

(1) A variety of types of local staff carry the responsibility of administering block funds - including federal programs staff, superintendents, directors of curriculum and instruction, library/media coordinators -- and they typically do so as one of several assignments . A third had no responsibility for any of the programs consolidated into the block grant.

(2) The nature and allocation of administrative responsibilities under Chapter 2 reflect the fact that the block grant is not a single unified program at the local level like other federal grants-in-aid but rather a broad-aim funding vehicle that supports various activities (often paying only part of the costs).

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*This section is adapted from the corresponding parts of another report from the National Study (Knapp, 1986).

Second, with regard to the nature of local administrative tasks under the block grant and the administrative load associated with them, we found that:

(3) District officials consider the administrative load associated with most administrative tasks under the block grant to be low (or at least, not very burdensome) in the majority of districts.

(4) Some administrative tasks, under certain conditions, tend to pose significant burdens--for example, administering services for private school students in larger districts.

(5) State interpretation of federal block grant requirements accounts for much of the variation in burdens associated with tasks that the state education agency influences most directly: applying for funds, reporting and accounting for expenditures, and evaluating the uses of funds.

Third, regarding local administrative costs under Chapter 2, we found that:

(6) Most districts of enrollment under 10,000 do not charge administrative costs (defined as the sum of administrators' salaries and indirect administrative costs) to the block grant. More than half of the larger districts (and three-quarters of the largest) use some of their Chapter 2 funds to cover these kinds of expenses.

(7) Nationwide 5.4% of total Chapter 2 funds in 1984-85 at the local level went to administrative costs. The average (median) annual amount districts allocated to these expenses range from $34,851 in the largest districts to $100 in the smallest. Medium-sized districts tend to allocate a greater proportion of their Chapter 2 funds to administrations.

(8) Lack of reimbursement for administrative costs is not widely perceived as a problem among districts; larger districts are more likely to complain about unreimbursed administrative costs.

Fourth, with regard to change in administrative burdens since antecedent programs, our analyses indicate that:

(9) The block grant has generally reduced the burdens administrators experience and (to the extent we could determine) their actual workload, by comparison with antecedent programs. (There are important exceptions for particular tasks, such as administering services for private school students.)

(10) A substantial minority of district administrators indicate that burdens have not changed significantly with the coming of the block grant. These responses are explained by the low level of burden to begin with, the number and complexity of the antecedent programs a district had, and the fact that for some districts simplification of some administrative tasks was offset by increased complexity in others.

## Local Chapter 2 Administrators

Looking across the nation's school districts, we find that it is coordinated by a wide variety of people. As with other federal programs, administering the block grant is usually one of many responsibilities held by the titular Chapter 2 coordinator. Only in the largest districts does the scale of operations under the block grant justify (and pay for) an individual who does nothing else. The number of other responsibilities carried by Chapter 2 coordinators corresponds inversely to the size of district, as seen in Table X-1; but other factors--especially decline in the size of the district, which typically forces fewer administrators to wear more hats--play a significant role as well.

Table X-1 also displays the most common administrative responsibilities borne by Chapter 2 coordinators and how these are distributed by size of district. As the table shows, the larger the district, the more specialized the job of the coordinator becomes. Most have been Chapter 2 coordinators for all 3 years of the block grant, but a substantial minority (nearly half in the very small districts) have taken on this responsibility in the last year or two.

The nature and allocation of administrative responsibilities reflect the fact that Chapter 2 typically is not a single unified program at the local level like some federal programs, such as bilingual education programs supported with ESEA Title VII funds. Rather, the block grant funds typically support more than one activity and, more often than not, pay for part of the activity (e.g., the equipment, some training) while other funds pick up the rest of the cost. As a consequence, even though functions such as filling out the application form are usually done by a single person, the

Table X-1

OTHER ADMINISTRATIVE RESPONSIBILITIES OF CHAPTER 2 COORDINATORS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Average (mean) areas of responsibility besides Chapter 2* | Percentage of districts in which Chapter 2 coordinator is also responsible for... | | | | |
|---|---|---|---|---|---|---|
| | | Chapter 1, other federal programs | Staff development | Administration of regular inst. program | Libraries, media centers | Business; district budget |
| Very large (25,000 or more) | 1.8 | 67 | 9 | 15 | 11 | 3 |
| Urban | 1.7 | 72 | 7 | 12 | 8 | 3 |
| Suburban | 1.9 | 62 | 12 | 19 | 14 | 3 |
| Large (10,000 to 24,999) | 2.3 | 66 | 30 | 25 | 26 | 3 |
| Medium (2,500 to 9,999) | 3.0 | 76 | 49 | 51 | 35 | 9 |
| Small (600 to 2,499) | 3.0 | 66 | 49 | 57 | 24 | 30 |
| Very small (less than 600) | 3.2 | 59 | 48 | 59 | 34 | 51 |
| All districts | 3.1 | 65 | 47 | 55 | 30 | 33 |

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*Out of 7 possible categories.

"administration" of the block grant can be divided among various parties. For this reason, we investigated burdens at the school as well as district level and, during site visits, discussed Chapter 2 administration with a number of administrators.

Examples from site visits will help to illustrate who the Chapter 2 coordinators are and what they do:

- The Chapter 2 coordinator in a very large urban district in the South was an administrator in the Federal and State Programs Office, who handled the application process for all such programs; programmatic supervision was decentralized among the various offices making use of the funds (teacher center, bilingual program, etc.).
- In a large district in a small Midwestern city, the job was split between the Business Officer, who dealt with funds accounting and external relations, and a Special Projects Coordinator, who managed the day-to-day operations of the computer project supported by Chapter 2 funds.
- In a small district in the west, a vice principal in one of the two schools functioned as Chapter 2 coordinator, in addition to coordinating the gifted-and-talented program, all other federal programs, and the district's testing activities.

Chapter 2 coordinators vary not only in their current responsibilities but also in their past experiences with the antecedent programs. A third (34%) of the current Chapter 2 coordinators had no responsibility for any of the antecedent programs (such respondents often left blank the items concerning change in burden from that period of time.) Districts that had more than one antecedent program often split the administration of these activities among different individuals. In one site we visited, one of these administrators (e.g., the one who had been in charge of ESEA Title IV-B funds) had no knowledge of other antecedent programs in the district (e.g., a Title IV-C project in one of the junior high schools). As a consequence, there was often no unified perception of antecedent programs within a district, but rather a collection of experiences by different individuals. This fact implies that global perceptions of change in administrative practice since antecedent programs may not reflect all aspects of administration under antecedent programs.

## Local Administrative Tasks Under the Block Grant and the Load Associated with Them

The statutory goals for the block grant are most explicit about paperwork, but to develop a complete picture of block grant administration we asked questions about nine tasks: applying for funds, accounting for expenditures, reporting to state and federal agencies, evaluating the use of funds, administering services for private school students, performing needs assessments, planning for programs and purchases, supervising programs and purchases, and consulting with parents or other community members. Not all of these tasks are required by the Chapter 2 law or regulations--most, however, are either implied or, practically speaking, cannot be avoided in managing local operations under the block grant.

### Local Administrative Tasks Under the Block Grant

Our site visits helped to characterize what these tasks involve under the block grant. The first five tasks could involve significant amounts of paperwork:

- Applying for funds.* Districts must submit annual Chapter 2 applications to their respective state agencies, or in some states a yearly update of the triennial application. Application requirements vary across states, but are typically very simple. We visited districts of various sizes from which the Chapter 2 application was no more than two pages long. The application from one of the largest districts (in a state that requested program narratives and evaluation designs for each Chapter 2 component) was in excess of 150 pages.
- Accounting for expenditures. As with all federal programs, districts must account for their uses of Chapter 2 funds in ways that satisfy state fiscal accounting standards. In this respect, Chapter 2 differs little from many federal programs; the nature of the projects supported by the block grant determines the amount of bookkeeping

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*See another report from the National Study for a more detailed discussion of state-local interactions regarding applications and other forms of paperwork (Turnbull and Marks, 1986).

required--at the simplest, district staff must record one-time purchases, such as computer or audio-visual equipment. More complex bookkeeping is required when large numbers of small items are purchased or staff are paid on an ongoing basis. In most districts, there are long-established routines for handling all of these.

- Reporting to state and federal agencies. The law requires districts to report to the state education agencies whatever it deems necessary for purposes of evaluation (see below) or other purposes. No reporting to the federal level is necessary. The level and kind of administrative work involved vary considerably by state and by the complexity of the district's Chapter 2-supported activities. But, as described elsewhere in the National Study (see Turnbull and Marks, 1986), states tend to ask for less reporting under Chapter 2 than they do for other federal or state programs.

- Evaluating the use of funds.* Districts are not responsible for a formal annual evaluation of their Chapter 2-supported activities, unless the state education agency asks them to do so. The state is required to do an annual evaluation of the use of Chapter 2 funds within the state, and may ask districts to supply them with information as part of that evaluation. Some states ask for nothing; others may send a yearly questionnaire to districts; while still others ask for a formal evaluation design as part of the district's Chapter 2 application and then an evaluation report at the end of the year. Districts respond to these requirements in a variety of ways depending on the available expertise, complexity of what must be evaluated, and belief in the importance of evaluation.

- Administering services for private school students.** Except in states with "by pass" arrangements (where a third-party contractor administers federal programs for private school students rather than the district) or the equivalent of these arrangements (e.g., where an intermediate unit takes on the responsibility), district staff are required to administer services for students in eligible private schools within district boundaries. This administrative job involves notifying and consulting with private school officials, making purchases or otherwise paying for services, accounting for these expenditures, and monitoring and evaluating the services. The size and complexity of this administrative job vary directly with the number of eligible private schools: half of the nation's schools districts in states without the alternative arrangements have such schools; the number of schools ranges from one to several hundred or more.

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*See Section XIII for a more extensive description of local evaluation activities.

**Another report from the National Study discuss this subject more fully (Cooperstein, 1986). Also see Section XVI.

Although not typically involving much paperwork, the four remaining administrative tasks could require a considerable investment of the Chapter 2 coordinator's (or other administrator's) time.

- Performing needs assessments. The law does not require a formal needs assessment process. Some districts do, often as part of other needs assessments--for example, an annual needs assessment survey performed for the Chapter 1 program is done for Chapter 2, as well, in one rural site we visited. More typically, needs are "assessed" informally at the district level (as a Chapter 2 coodinator consults colleagues on possible changes in the use of funds for the next year) or at the school level (e.g., as a librarian asks teachers or department heads what they most need in the way of new materials in the school's instructional resource center.)

- Planning for programs and purchases. As with any instructional program, some planning, however informal, is likely to precede the activities supported by Chapter 2 funds. Federal law and regulations specify no formal planning requirements (except in one subchapter dealing with basic skills improvement projects, which asks explicitly for the development of a "comprehensive and coordinated program" to address students' skill deficiencies). Elaborate forms of planning become necessary under the block grant where the state education agency and local instructional planning traditions encourage it or where block grant funds are used for new programs or activities. As noted in Section IX, planning for Chapter 2 is often subsumed in the planning process for the programs to which block grant funds provide partial support.

- Supervising programs or purchases. Particularly in larger districts, the supervision of programs or activities supported by Chapter 2 typically falls to staff other than the Chapter 2 coordinator, such as the district gifted-and-talented program coordinator (who might receive a new set of materials purchased with block grant funds) or the staff development director (who might have used Chapter 2 funds to pay a consultant to run a workshop series). Nonetheless, the Chapter 2 coordinator (and staff, if any) typically retains an overall supervisory responsibility and must oversee (and often carry out) the expenditure of the Chapter 2 funds.

- Consultation with parents or other community members.* Chapter 2 law and regulations stipulate that parents be consulted in decisions about the use of funds and that they contribute to the design and implementation of the activities supported by the block grant. District officials have interpreted these requirements differently, in some cases doing little more than a pro forma presentation before the school board, in other cases setting up parent advisory committees specifically for Chapter 2. More typically, consultation with parents is not extensive and consists of periodic conversations about Chapter 2 activities with advisory groups set up for other purposes (e.g., to guide the district's Chapter 1 program, to react to curricular changes in the core instructional program).

### Administrative Load of Different Tasks

We had no simple way of measuring the actual time involved in accomplishing these tasks. Instead, we asked survey and interview respondents to characterize the administrative load associated with the tasks, by "assessing the burden" associated with each task.** We assumed that this broad and subjective concept captured the most significant dimensions of the administrative load imposed by the block grant. We recognized, in so doing, that there could be various meanings to the term and that "burdens" might not be straightforwardly related to the size of the administrative task or the number of requirements, as previous research on Chapter 2 and other federal programs has pointed out (e.g., Hastings and Bartell, 1984; Rezmovic and Keesling, 1983; Knapp et al., 1983).

The administrative load associated with each task is generally low as Table X-2 suggests. However, particular tasks are often fairly burdensome under the block grant, under certain conditions. Other tasks pose few difficulties for the great majority. In only one instance (very large districts with respect to their interactions with private schools) do more than half of the districts in a size category report a task as "somewhat" or "very" burdensome. However, the table helps to identify particular tasks that are more problematic than others and the types of districts likely to experience them that way:

- As the table suggests, filling out applications for block grant funds, planning for programs and purchases, and consulting with

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[*] See Section XII and also another report from the National Study (Blakely and Stearns, 1986) for an extensive discussion of this topic.

[**] Survey respondents assessed burden with a 4-point scale having the following values: 1 = not at all burdensome; 2 = not very burdensome; 3 = somewhat burdensome; 4 = very burdensome. Interview respondents described and assessed the tasks qualitatively.

Table X-2

### DEGREE OF BURDEN ASSOCIATED WITH PARTICULAR ADMINISTRATIVE TASKS UNDER THE BLOCK GRANT, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts indicating that the following tasks were "somewhat" or "very burdensome" under Chapter 2: | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| | Planning for programs/ purchases | Performing needs assessments | Applying for funds | Supervising programs/ purchases | Accounting for expenditures | Reporting to state agencies | Evaluating the use of funds | Administering private school services | Consultation with parents |
| Very large (25,000 or more) | 32 | 34 | 23 | 44 | 45 | 27 | 35 | 60* | 28 |
| Urban | 33 | 36 | 25 | 46 | 48 | 32 | 29 | 66* | 23 |
| Suburban | 31 | 31 | 20 | 42 | 42 | 22 | 42 | 54* | 34 |
| Large (10,000 to 24,999) | 40 | 35 | 19 | 47 | 42 | 24 | 37 | 44* | 31 |
| Medium (2,500 to 9,999) | 23 | 34 | 20 | 25 | 31 | 30 | 34 | 40* | 26 |
| Small (600 to 2,499) | 22 | 39 | 18 | 29 | 34 | 36 | 34 | 39* | 24 |
| Very small (less than 600) | 15 | 35 | 13 | 11 | 8 | 22 | 21 | 32* | 26 |
| All districts | 20 | 36 | 17 | 22 | 23 | 29 | 29 | 40* | 25 |

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* Percentage of those districts with participating private schools only.

parents are less often seen as burdensome, while administering services for private school students, services, evaluating the use of funds, and performing needs assessments more often pose difficulties for administrators.

- The table also demonstrates that for some tasks the burdens fall differentially among the different size categories. Administrators in the larger districts experience supervising programs and purchases, accounting for expenditures, and administering services for private school students as more difficult than do those elsewhere.

The nature of the tasks themselves and the size of the district are not the only sources of burden under the block grant. Other factors, especially the state, play a role in the way the district administers Chapter 2. Variability in the way states interpret and administer the block grant, suggested by previous studies (e.g., Kyle, 1983, 1985), was apparent from our visits to the states and obviously makes a difference in the way districts administer their programs (see Turnbull and Marks, 1986 for more detail on state variability). State education agency (SEA) actions have a great deal of influence on at least the following three aspects of local block grant administration:

- Applications. As noted above, the application form itself, which was designed by the SEA, could vary greatly in complexity. Also, the procedures for reviewing applications vary considerably across SEAs. We visited districts that had been required to revise and resubmit their applications because they lacked sufficient detail or were judged inadequate in other ways by the SEA. More often, applications were simply accepted and merely checked for arithmetical errors or unallowable uses of funds.

- Reporting to the SEA. Some states expected more information from districts than others, for example, complete inventory lists of equipment purchased with block grant funds or expenditure information of various kinds.

- Evaluation. As previously described, some SEAs required little or nothing from their districts in the way of evaluative information, while others expected annual evaluations of varying complexity.

## Administrative Costs

We distinguished burdens from administrative costs and tried to determine how much block grant funding was devoted to these expenses and how frequently districts did so. A majority of larger districts (enrollments of 10,000 or more) charge some or all of their administrative costs to the block grant, as Table X-3 indicates. Otherwise, the costs of administering the block grant are usually borne by the school district.

Although there are limitations to the data we could get through the mail survey, we were able to generate a rough estimate of administrative costs by asking whether Chapter 2 funds were used to pay administrators' salaries or to defray indirect administrative costs.*

Overall, a relatively small proportion of total local Chapter 2 funds goes to these administrative costs--about 5.4% of these funds nationwide (see Section IV). As Table X-3 demonstrates, this percentage varies by size of district. The largest districts were understandably more likely to have enough administrative work to do under the block grant to justify all, or part, of a salary; however, when smaller districts do support an administrative salary, this consumes a larger proportion of their Chapter 2 funds.

We also inquired about burdens attributed to unreimbursed costs of administering local operations overall and services for private school students in particular. As we note in another report from the study (Knapp, 1986), relatively few districts complain about these costs, for several reasons:

- In most districts (especially smaller ones), managing the block grant funds accounts for a small proportion of the Chapter 2 coordinator's time--too small to generate much sense of burden.

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*The "total administrative cost" = administrators' salaries + indirect costs. These figures do not include secretarial costs, which may have figured in the "noncertificated personnel" line. However, "administrators' salaries" is also likely to include some expenditures for actual delivery of services (like staff development).

## Table X-3

## ADMINISTRATIVE COSTS COVERED BY BLOCK GRANT FUNDS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts with administrative costs charged to block grant* | Median** amount of funds for administrative costs** | Administrative Salaries | Mean percentage of district's total allocation for: Indirect Costs |
|---|---|---|---|---|
| Very large (25,000 or more) | 76 | $34,851% | 13 | 4 |
| Urban | 85 | 33,311 | 12 | 3 |
| Suburban | 63 | 44,570 | 13 | 4 |
| Large (10,000 to 24,999) | 56 | 3,141 | 18 | 3 |
| Medium (2,500 to 9,999) | 17 | 1,574 | 36 | 4 |
| Small (less than 600) | 15 | 588 | 30 | 5 |
| Very small (under than 600) | 4 | 100 | 7 | 9 |
| All districts | 13 | 950 | 22 | 4 |

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[*] Defined as administrators' salaries, if any, and indirect administrative expenses.

[**] Median amount and mean percentage based only on those districts that did put Chapter 2 funds into administration (for column 1 and 2), into administrative salaries (column 3), and indirect costs (column 4).

- Administering the uses of Chapter 2 funds is often so closely connected with routine functions associated with other federal or local programs that respondents were unable to easily distinguish (and hence complain about) the portion of their jobs that might have been covered by Chapter 2 funds.

The chief exception to this pattern is the matter of administering services for private school students in larger districts. In these settings, which typically include many private schools, the time and expense of managing private school services can be quite large. Understandably, districts might be concerned about this issue (between a fifth and a quarter view that as a problem). The perception of difficulty seems especially acute in those districts experiencing an increase in the number or proportion of private schools whose students participate, and a corresponding increase in the proportion of federal funds directed to them (See Cooperstein, 1986, for a more detailed discussion).

## Burden Reduction Under the Block Grant

As perceived by those with overall administrative responsibility for Chapter 2, the absolute level of administrative burden under the block grant across all administrative tasks is low. Mail survey data summarize the basic pattern succinctly. Table X-4 presents, by size of district, the absolute level of burden averaged across the nine kinds of administrative tasks.

By comparison with the antecedent programs, respondents tended to report that the block grant had reduced administrative burdens, as seen in Table X-5, although a substantial proportion, approximately a third, see the burdens as the same. Very few felt that burdens had increased. (Because respondents across all size categories felt about the same, we have not broken out this table by district size.)

These perceptions are borne out by the change in actual administrative activities, to the extent we were able to learn about them. Take, for example, the matter of applying for funds, the simplest and clearest case of burden reduction. Before Chapter 2, district officials had to fill out separate applications (in most programs, the application was a competitive grant proposal) for each antecedent program in which the district participated; the applications for such programs as ESEA Title IV-C, ESAA, and Teacher Corps were often detailed and lengthy. Chapter 2 reduced this to a single application; as noted earlier in this section, that could often be a simple form consisting of a few pages.

Table X-4

OVERALL LEVEL OF ADMINISTRATIVE BURDEN DISTRICTS EXPERIENCE UNDER THE BLOCK GRANT, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts above midpoint on the "burdensome" scale* | Mean rating of burden across all administrative tasks** |
|---|---|---|
| Very large (25,000 or more) | 27 | 2.20 |
| Urban | 31 | 2.18 |
| Suburban | 26 | 2.22 |
| Large (10,000 to 24,999) | 32 | 2.20 |
| Medium (2,500 to 9,999) | 19 | 2.07 |
| Small (600 to 2,499) | 18 | 2.06 |
| Very small (less than 600) | 7 | 1.71 |
| All districts | 14 | 1.92 |

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* Midpoint on the scale is 2.5; hence, in the districts falling into this column, the average rating across the nine administrative tasks was that the task was "somewhat" or "very" burdensome.

** Based on the nine tasks listed earlier in this section in "Local Administrative Tasks Under the Block Grant and the Load Associated with Them."

## TABLE X-5

## CHANGE IN ADMINISTRATIVE BURDEN FROM ANTECEDENT PROGRAMS TO THE BLOCK GRANT

| | Percentage of districts* reporting that burdens under Chapter 2 are... |
|---|---|
| ... Smaller | 58 |
| ... The same | 37 |
| ... Greater | 5 |
| | (100%) |

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*Excluding cases in which the respondent had no prior responsibility for antecedent programs.

Why is it considered less burdensome to administer activities under the block grant? The general answer emerging from site visit interviews was remarkably consistent: less has to be done to satisfy state and federal requirements under the block grant than under most of the preceding programs (exception for ESEA Title IV-B, which in most states had administrative requirements much like those now found in Chapter 2). Compared with other antecedent programs, Chapter 2 has fewer reporting and paperwork requirements of all kinds, as the above discussion of applying for funds implies.

But why do a substantial minority of coordinators report that the level of administrative burdens is the same? There are several answers to this. First, many districts (64%) participated only in ESEA Title IV-B; in these districts, the block grant was often administered as if it were an extension of that program. Although Chapter 2 has fewer requirements than Title IV-B in some respects (for example, there are no references to disadvantaged children in the block grant regulations; the range of purchases under Title IV-B was more constrained), in many instances it is perceived as comparable at the local level. Second, for some districts, there are counterbalancing burdens--e.g., less paperwork but more time consulting with private schools. Third, whether or not Chapter 2 brought changes in what had to be done, the absolute level of burden under the block grant or the antecedent programs has usually been so low that respondents perceive little difference between the two.

# XI LOCAL DECISIONMAKING PROCESSES

In this section we describe local decisionmaking processes under Chapter 2 (in a later section we examine the block grant's effect on local discretion). We first differentiate the types of decisions involved in Chapter 2 and examine the relative importance of the different types of participants that could take part in these decisions. We then describe the basic patterns of decisionmaking involved in allocating block grant funds to different uses, which takes place primarily at the district level, and in implementing the activities supported by the block grant, which typically takes place at the school level with varying degrees of input from district staff.

## Summary

The analyses reported in this section support the following findings. With regard to decisions about the allocation of funds to particular activities, we found that:

(1) One or a few district-level administrators (e.g., the Chapter 2 coordinator, the superintendent, or a committee of some kind) typically control decisions about the uses of funds; school staff, school board members, and parents or other community members tend to have relatively little role in these decisions. There are some important differences by size of district: teachers and principals, for example, are more often reported to exert influence on decisions in smaller districts.

(2) The core decisionmaking group in the district office may involve others in more of an advisory capacity, but their influence is generally weak. Key decisionmakers may, in fact, take steps to limit the potential involvement of others in the decisionmaking process.

(3) Chapter 2-related decisionmaking is generally part of larger, ongoing processes of making decisions about special programs or the district's educational programs as a whole. In this respect,

the block grant is likely to support existing patterns of influence and participation rather than create new ones.

(4) Important allocation decisions are often made for more than one year at a time, especially in areas such as computer applications.

With regard to decisions about the implementation of Chapter 2-supported activities, we found that:

(5) Decisions about the implementation of Chapter 2-supported activities are typically the province of school staff, although district staff may play an important role in planning, design, or supervision. A few parents may be included in these kinds of implementation decisions.

(6) At the level of implementation, participation and influence patterns are as varied as the activities Chapter 2 supports and the local arrangements for carrying out instructional programs.

## Allocation and Implementation Decisions

When one examines local operations under the block grant firsthand, it quickly becomes apparent that two types of decisions are implied: overall allocation decisions that direct funds to certain uses (e.g., computers rather than elementary guidance) and decisions about implementing the activities that receive block grant support (e.g., which computers do we buy? where will the computers be located?). The cast of characters and the kinds of influence they wield differ by type of decision. A Chapter 2 coordinator in a small Midwestern city described the process in a way that captures a widespread pattern among districts of all sizes:

> When we received notice of the amount of Chapter 2 money, we started a process with several steps. First, the executive cabinet [superintendent, assistant superintendent for instruction, business officer, and several other high-level administrators] looked at it and we made general decisions.... We talked about educational TV but saw the computer education need. Second, we brought in the special projects coordinator, who set up a planning committee to develop a plan.... We thought this was the new thing, the wave of the future. We didn't know for sure until the committee studied it and developed a plan. Third, we put it to the Curriculum Committee of the Board, and through them to the whole Board.

Chapter 2-related decisions of either type are likely to be part of a larger, ongoing process of making decisions about the special programs or the district's educational program as a whole. For example, district officials tend not to establish distinct Chapter 2 decisionmaking bodies, but prefer to use existing mechanisms such as a Chapter 1 program advisory council, a district curriculum planning group, or the superintendent's cabinet. This has an important implication for the block grant's effects on discretion: it is likely to support existing patterns of influence and participation rather than create new ones.

It is not unusual for the most important allocation decisions to have been made early in the implementation of Chapter 2 (e.g., the 1982-83 school year) and not have changed since, even though some adjustments in the use of funds may have happened each year. This pattern was especially common in the case of computer applications, which often spanned the 3 years of the block grant, as districts gradually acquired a number of computers and related software and implemented training programs. Some districts developed elaborate plans to implement computer-assisted instruction in the secondary schools during the first year of a multiyear plan, in the middle schools during the second year, and in the elementary schools during the third year. The fact that many states operate on a 3 year application cycle (allowing districts to update the first year's application) also contributes to the pattern.

## Relative Influence of Participants

Mail survey responses, corroborated by on-site observations, allowed us to assess the relative influence that different categories of participants wield in local decisionmaking about the block grant. To put the discussion in the context of the many influences on decisions, we note that the "preferences of district and school staff" are clearly a driving force in Chapter 2-related decisions: Chapter 2 coordinators in approximately half of all districts indicated that this was so (this is the second most frequently mentioned factor among 12 possible items--see Blakely and Stearns, 1986).

To get a more fine-grained picture of the relative influence of different types of participants, we asked who played a very important role in decisions about block grant funds. The results, displayed in Table XI-1 as a rank ordering among nine participant groups, indicate the following overall patterns*:

- District staff, including administrators and supervisory staff (or others who may not be termed "administrator"), clearly play a more important role in Chapter 2 decisionmaking than other types of participants, with a few exceptions, across all categories of districts. Superintendents are especially important in the smallest districts (where they are often, in effect, the Chapter 2 coordinator); conversely, there are few other officials in these districts and they thus are less likely to play an important role.
- School staff (principals, teachers) appear to play an increasingly important role as one progresses down the district size continuum. Not surprisingly, in the smallest districts, which typically consist of one or two schools with little administrative superstructure at "district level," teachers or principals tend to be most frequently mentioned.
- School board members are reported to exert an important influence on Chapter 2 decisions infrequently, across all sizes of district.
- Parents and other community members appear to have an important role in decisionmaking in relatively few districts, as well; parents are more frequently reported to be involved than other community groups, including school board members.

The rankings in Table XI-1 give only a rough approximation of the role these types of participants play in decisionmaking. Responses probably refer to decisionmaking about both allocation of funds and implementation of the resulting activities (the mail survey item did not distinguish the two). Thus, although teachers and principals appeared to be heavily

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[*] Rank ordering is based on the percentage of districts that indicated each type of participant had a very important role in Chapter 2-related decisionmaking. Percentages are left out of the table because, based on site visit data, they appear consistently to overstate the importance of many role groups; however, the relative frequency among participant types corresponds fairly closely to what we observed on-site.

Table XI-1

## RANK ORDER OF PARTICIPANTS BASED ON HOW FREQUENTLY THEY WERE SAID TO HAVE A "VERY IMPORTANT INFLUENCE" ON CHAPTER 2-RELATED DECISIONS

| District Size (Enrollment) | District staff | | | School staff | | Community | | | |
|---|---|---|---|---|---|---|---|---|---|
| | Supt. | Ch. 2 coord. | Other officials | Principals | Teachers | School board members | Parents | Civic groups/ businesses | Other comm. |
| Very large (25,000 or more) | 2 | 3 | 1 | 4 | 5 | 7 | 6 | 9 | 8 |
| Urban | 2 | 3 | 1 | 4 | 6 | 7 | 5 | 8 | 9 |
| Suburban | 2 | 6 | 1 | 5 | 3 | 7 | 4 | 9 | 8 |
| Large (10,000 to 24,999) | 4 | 2 | 1 | 5 | 3 | 7 | 6 | 9 | 8 |
| Medium (2,500 to 9,999) | 3 | 1 | 4 | 2* | 2* | 6 | 5 | 8 | 7 |
| Small (600 to 2,499) | 1* | 3 | 5 | 2 | 1* | 6 | 4 | 8 | 7 |
| Very small (under 600) | 1 | 3 | 7 | 4 | 2 | 5 | 6 | 9 | 8 |
| All districts | | | | | | | | | |

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*Tied rankings: that is, the same percentage of districts indicated that these two groups played a very important role.

involved in decisionmaking, their role in overall allocation decisions is not great in most cases, whereas their role in school-level implementation decisions is substantial, especially in smaller districts.

The following analyses explore the role and interaction of these participant groups in the two kinds of decisionmaking, drawing heavily on what we learned during site visits.

On the basis of these analyses, it will be apparent that a few participant types exercise considerable influence over allocation decisions, while most others participate in a more peripheral way. Implementation decisions are generally the province of school staff, with varying degrees of input from the district office, depending on the general locus of control within the district.

## Making Decisions About the Allocation of Chapter 2 Funds

Almost by definition, the federal programs coordinator or Chapter 2 coordinator is at the center of allocation decisions.* Frequently, one or two others join the Chapter 2 coordinator as central players in allocation decisions--the superintendent (or relevant assistant superintendent), the Chapter 2 coordinator's immediate superior (e.g., the federal programs manager in larger districts), or other district staff with a particular interest in block grant funding. It is usual for these individuals to use a high-level group such as the superintendent's cabinet as the principal forum for considering possibilities. Some examples illustrate three common patterns of district-level participation in Chapter 2 decisions:

- One-person show. In many districts, especially in smaller or medium-sized ones, a single individual is the driving force behind allocation decisions. In some cases it is the superintendent (or assistant superintendent) who sees Chapter 2 dollars as an opportunity to set a particular program in motion or otherwise contribute to a high-priority activity. More often, the Chapter 2 coordinator, by virtue of position and administrative assignment (which may derive from an antecedent program responsibility), exerts primary control over these decisions and other aspects of the decisionmaking process--for example, who is kept informed about the availability amount of block grant funds.

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*The fact that "Chapter 2 coordinator" was not ranked more frequently as very important probably reflects a response bias. Chapter 2 coordinators, who filled out the questionnaire, probably underestimated their own significance in the decisionmaking process.

- District-level insiders' group. Typically through informal consultation, the Chapter 2 coordinator and several other key administrators--some with responsibility for federal and state programs, others (perhaps including the superintendent) with responsibility for the administration of the district's core instructional program--discuss possibilities for the use of the funds and arrive at some consensus among themselves; they subsequently "sell" the idea to others, whose acquiescence is necessary for the idea to be realized.

- Districtwide committee. In some instances, a powerful districtwide committee speaks for Chapter 2 funds and effectively gains control over them. We saw this most dramatically illustrated in the case of committees set up under one or another antecedent program, as in the case of a districtwide librarians' committee in a suburban Midwestern district described by one committee member as follows: "The librarians are very possessive about their Chapter 2 money in this district. They would be extremely agitated if the district would choose to put the funds into other areas. The district would have a mutiny on its hands." (The Chapter 2 coordinator had suggested other uses but gave in to the librarians' pressure.)

The nucleus of district-level decisionmakers might or might not involve others, depending on existing traditions and mechanisms of decisionmaking or the internal politics of the district. As often as not, we found evidence that the core group attempts to limit participation in these decisions, for fear of losing control of the process. These decisionmakers typically are well aware of the wide range of potential uses for block grant funds but do not wish to go through a protracted process of considering all possibilities, preferring instead to focus more quickly on a few options they consider most important. Centralized control of decisionmaking (at least for allocation decisions) also seems to be associated with those districts that used block grant funds to stimulate innovations. A superintendent described his interest in the block grant in these terms: "I can use these funds to get things going. I put out the original idea, but leave the implementation to district administrators."

## The Role of School Staff in Allocation Decisions

We found relatively little evidence that school staff are consulted extensively about how to allocate the block grant funds, even though a teacher or principal is often a member of the relevant district planning committee. There is, however, considerable difference by size category: in smaller districts with only a few schools, school staff tend to play a more significant role. The more usual scenarios resembled the following situation described by a principal in a large district located in a small Midwestern city:

> "You know, I have this question. Why did the district decide on computers versus staff development? Probably, what happens: someone is in the right place at the right time. I'm not complaining, but we don't always look at all options. [With this decision] I got the feeling the decision had been made. No one asked me: hey, what do you want done with this block grant money?"

Telephone survey data, which focused on selected Chapter 2-supported programs at the school level (remedial, gifted-and-talented, and computer applications), suggests that a third to half of these schools felt no involvement in decisions about Chapter 2 funds, while most others felt that the decisions were "joint," as shown in Table XI-2 on the next page. (Note that these data do not differentiate allocation from implementation decisions. Had we done so, the percentage of schools perceiving that decisions were made at the district level probably would increase.)

Further data from the telephone survey provide a more detailed picture of the way school staff participate in the consultation process under Chapter 2. Only a third of our respondents (mostly principals) indicated that they or their staff were members of a district planning or advisory committee for Chapter 2, as shown in Table XI-3, while three-fifths participated in a districtwide needs assessment to decide how Chapter 2 funds should be used. Interviews suggest that this kind of participation is often fairly informal--for example, responding to a question at a monthly principals' meeting--as are the "other discussions with the district about how Chapter 2 funds should be used" that four-fifths of the school

## Table XI-2

## SCHOOL-LEVEL PERCEPTIONS OF THE LOCUS OF DECISIONMAKING FOR SELECTED CHAPTER 2-SUPPORTED PROGRAMS

| | Percent of schools that indicate Chapter 2 decisions are made at... | | | |
|---|---|---|---|---|
| Type of Program (Number of Schools Surveyed) | ...School Level | ...District Level | ...Jointly | |
| Gifted and talented (n = 79)* | 6% | 47% | 47% | (100%) |
| Remedial (n = 83)* | 9 | 31 | 60 | (100%) |
| Computer applications (n = 90)* | 13 | 30 | 57 | (100%) |

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* Sample sizes were not large enough to make national estimates; however, schools were chosen randomly to reflect major variations in the mail survey sample. See appendix.

respondents reported having. Consultation can be extensive within schools, for example, the needs assessments conducted by some of our respondents to decide how school-level Chapter 2 funds (e.g., for the library) should be used--but here, the assessment processes were most often informal and had to do with the details of implementation rather than the initial decision to pursue one activity or another.

### The Role of the School Board

Typically, school board members are not active participants in the district-level decisionmaking related to Chapter 2. Few of the school board members we interviewed, for example, had detailed knowledge of what

## TABLE XI-3

## SCHOOL STAFF ROLE IN CHAPTER 2 DECISIONMAKING FOR SELECTED ACTIVITIES SUPPORTED BY THE BLOCK GRANT

| | Percentage of schools using Chapter 2 funds to support | | | |
|---|---|---|---|---|
| Respondent Has:* | Computer applications (n = 96**) | Gifted & talented (n = 90**) | Remedial (n = 87**) | Total (n = 273**) |
| Been a member of a district planning or advisory committee for Chapter 2 | 30 | 27 | 38 | 32 |
| Participated in a district-wide needs assessment for the purpose of deciding how Chapter 2 funds should be used | 60 | 55 | 67 | 61 |
| Conducted a needs assessment in the school for the purpose of deciding how Chapter 2 funds should be used | 62 | 57 | 70 | 63 |
| Had other discussion with the district about how Chapter 2 funds should be used | 81 | 75 | 81 | 79 |

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*Respondents were mostly principals, or else were within-school coordinators of the activity in question.

**Number of schools is in parentheses. Sample sizes were not large enough to make national estimates; however, schools were chosen randomly to reflect major variations in the mail survey sample. See Appendix D.

Chapter 2 funds supported; some were not sure what Chapter 2 was (it was not unusual for interviewees to have been briefed on Chapter 2 by district office staff prior to our site visit). As the mail survey findings presented in Table XI-4 suggest, the board's role was generally to approve recommendations brought to it by district administrators or else just to be informed about what Chapter 2 was being used for. In only a small proportion of districts did board members debate the uses of funds.

Comments from the district officials and board members we interviewed explain the pattern. A board president in a suburban district spoke for many districts as she described her board's relationship to Chapter 2:

> As for our involvement with Chapter 2, the only thing is the application each year. It comes as a recommendation to us to approve. There was never an instance to say what should go into the program...the Board does not really have much input. We think that's why we hire our top administrators.... People are not much concerned with little pots of money.

## Making Decisions About the Implementation of Chapter 2-Supported Activities

Implementation patterns under the block grant are far more varied than allocation decisions, affording many more opportunities for some kind of input from school staff or parents. The manner of implementing Chapter 2 depends on the activities supported by the block grant. The diversity of these activities and the profound differences in district population (reflecting size of district, setting, student population) mean that the arrangements for carrying out Chapter 2 take many forms, often within the same district. Some typical examples capture the range of implementation arrangements and the ways in which various participants might be involved:

- Support for libraries and media centers. Librarians or media center directors are the key participants in the implementation of this kind of activity. Parents can volunteer to work in libraries and, by so doing, have the opportunity to influence the way Chapter 2 funds contribute to the library's collection.

## Table XI-4

## SCHOOL BOARD'S ROLE IN CHAPTER 2 DECISIONMAKING

| District Size (Enrollment) | Percentage of districts in which the school board... Debated the uses of Chapter 2 funds | Approved budgets for Chapter 2 programs/ purchases | Received information about Chapter 2 programs purchases |
|---|---|---|---|
| Very large (25,000 or more) | 18 | 91 | 85 |
| Urban | 18 | 91 | 86 |
| Suburban | 18 | 91 | 86 |
| Large (10,000 to 24,999) | 13 | 79 | 94 |
| Medium (2,500 to 9,999) | 14 | 76 | 86 |
| Small (600 to 2,499) | 10 | 64 | 82 |
| Very small (under 600) | 18 | 63 | 77 |
| All districts | 14 | 67 | 81 |

- Computer applications. Computer hardware or software purchases made with Chapter 2 funds and their subsequent use typically are guided by district and school-level committees composed of interested teachers and administrators. Teachers that are particularly interested in computers (e.g., elementary learning center coordinators, junior high mathematics teachers) typically take the lead in developing the actual applications. Parents may advise on computer purchases (if they are knowledgeable) or may tutor students in computer labs.

- Curriculum development. Chapter 2 funds support various kinds of curriculum improvement efforts, typically carried out by small writing teams composed of selected teachers and district curriculum supervisors. Parents' advice might be sought in the design of curricula, for example, as draft curricula are being reviewed and revised.

As these examples show, school staff (and sometimes staff from the district level) tend to have more significant input than other types of participants into implementation decisions, principally because most activities supported by the block grant are carried out in the school.

# XII PARENT AND CITIZEN INVOLVEMENT IN DECISIONMAKING*

Federal legislation and guidelines explicitly encourage districts to consult systematically with parents about the uses of block grant funds and to involve them in the design and implementation of activities supported by Chapter 2. Federal guidance also encourages districts to make information. This section will examine the extent to which the legislative intent is reflected in district actions, parent (or citizen) participation, and community influence on program-related decisionmaking. As the findings in the preceding section suggest, parents and other citizens are not heavily involved in the local Chapter 2 decisionmaking process in most districts. We explore below the various forms that involvement takes and the explanations for districts' actions and parents' response.

## Summary

The analyses reported in this section support the following findings. First, regarding what districts do to encourage parents or citizens to participate in Chapter 2 decisionmaking or to inform them about Chapter 2, we found that:

(1) Presentation of Chapter 2 plans at a school board meeting is the most commonly reported form of "consultation" with parents and the community (used in approximately two-thirds of all districts), followed by use of an existing advisory committee (in nearly two-fifths of all districts, PTA meetings (in approximately one-quarter of districts), and "consultation with individuals" (in approximately one-fifth). Chapter 2-related issues are typically a minor part of the agenda for one or several meetings.

(2) Approximately one-fifth of all districts have set up a committee or advisory group specifically for Chapter 2.

(3) Where districts try to involve parents in more different ways, the level of parent involvement tends to be higher (this result may

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* This section is adapted from another report from the National Study (Blakely and Stearns, (1986)

reflect the effect of district actions, parent and citizen advocacy, or both).

Second, our findings about districts' efforts to inform parents or citizens about Chapter 2 parallel those concerning consultation mechanisms:

(4) Districts tend to invest relatively little in efforts to inform the public about Chapter 2 and what it supports in the district. Approximately half of all districts make budget information or Chapter 2 applications available to interested poarents or citizens; a smaller percentage provide evaluations, newsletters, or information about students served, though these communication devices tend to concentrate on the longer programs to which Chapter 2 contributes.

(5) Districts that make information available are more likely to have parents or citizens involved. The more types of information they provide, the more likely parents will be actively involved.

Third, regarding explanations for district actions, we found that:

(6) District actions to involve parents tend to be limited, due to:

(a) The small amounts of money,
(b) Precedents established under antecedent programs,
(c) District philosophy about relations with the community,
(d) Lack of explicit federal regulations, and
(e) Inattention by the state.

Fourth, our analysis of parent or citizen participation in decisionmaking suggested that:

(7) Parents and citizens tend not to be heavily involved in formal Chapter 2 decisionmaking processes, particularly in smaller districts, not do they typically seek to participate in these processes. Parents tend to be more active in larger districts, especially the largest surburban ones, where more money is involved, and also where controversy, programs changes, antecedent program traditions, and a higher community socioeconomic level encourage active participation.

(8) Among districts in which parents or citizens do take an active part in block grant decisionmaking, no one kind of group seems to predominate: Chapter 2 coordinators report that poor parents, for example, are as often represented as affluent ones.

Fifth, regarding the factors affecting patterns of involvement, we found that:

(9) The generally low level of involvement can be traced to a series of factors (they parallel the explanations for district actions above) including:

  (a) The relatively small amount of funds, especially in smaller districts,
  (b) Local officials' perception that citizens are satisfied with current programs and feel no need to become involved,
  (c) The fact that program goals did not change much from antecedent prograsms, especially in larger districts,
  (d) The general lack of pubnlic interesting in, or awareness of, Chapter 2 (as perceived by Chapter 2 coordinators), especially in smaller districts.
  (e) The small (or lack of) investment in parent involvement by the district, due to its belief that this would not be helpful, would be more effort than it was worth, would raise community expectations unrealistically, or would be difficult to do.

Finally, regarding the influence of parents and citizens on Chapter 2 decisions, we found that:

(10) For the most part, there was little evidence that parents directly influenced Chapter 2 decisions. However, they do have some indirect influence on these decisions. Community preferences, for example, appear to be a major decisionmaking factor in approximately a quarter of all districts—more so in larger districts, especially the largest suburban districts.

(11) To accommodate community preferences, district decisionmakers apparently use Chapter 2 funds to address salient concerns voiced by community members, but not typically on the basis of a systematic review of these concerns. District decisionmakers do not (or cannot) attend to all community interests.

## District Actions to Solicit Parent or Citizen Input in the Local Chapter 2 Decisionmaking Process

Districts interpret requirements for "systematic consultation" differently. As a consequence, the methods used to involve parents and other citizens in the local Chapter 2 decisionmaking process vary considerably across districts. As can be seen in Table XII-1, by far the most prevalent method of soliciting parent and citizen input is through school board meetings. Case study data suggests that this mechanism offers little opportunity for "consultation" of any kind (a fact anticipated by federal nonregulatory guidance, which suggests that this is not a satisfactory way of consulting with parents) At such a meeting, district administrators typically present the district's Chapter 2 application and summarize the plan for using the funds; community members attending the meeting may have aopportunity for comment, but not a chance for significant input into the decisionmaking process. (Section XI has already demonstrated the generally limited role of school boards in Chapter 2 affairs.) PTA meetings, used in approximately a fifth of all districts, resemble school board meetings as a vehicle for soliciting advice from parents.

Table XV-1

MECHANISMS FOR CONSULTING WITH PARENTS AND CITIZENS
REGARDING CHAPTER 2 DECISIONMAKING

| Method of Consultation | Percent of all districts |
|---|---|
| School board meetings | 62 |
| Existing advisory committee (created before Chapter 2) | 37 |
| Consultation with individuals | 26 |
| PTA meetings | 22 |
| Chapter 2 advisory committee | 21 |
| Parent or community survey | 9 |
| Other consultation mechanism | 6 |
| No consultation | 11 |

Approximately a fifth of districts (21%) create parent/citizen advisory committees specifically for Chapter 2. These groups obvious focus more directly and centrally on issues related to Chapter 2, but case study evidence suggests that meetings of these committees are not always well attended. More typically, Chapter 2 is added to the agenda of existing parent/citizen advisory committees, for example, parent advisory councils set up for the Chapter 1 program, districtwide curriculum committees, or advisory groups set up under antecedent programs. Chapter 2 matters tend to be a relatively small part of concerns addressed by these groups.

Districts often do more than one thing to involve parents. The more avenues open to parent and citizen input, the more likely it is that parents and citizens actively seek to be, and become, involved in the decisionmaking process as shown in Table XII-2).

Table XII-2

RELATIONSHIP BETWEEN NUMBER OF DIFFERENT CONSULTATION MECHANISMS AND PARENT OR CITIZEN INVOLVEMENT

| Number of different consultation methods used by the district to involve parents or citizens | Percent of districts reporting ... | |
|---|---|---|
| | Parents not actively involved | Parents actively involved |
| 0 | 100 | 0 |
| 1 - 2 | 88 | 12 |
| 3 - 5 | 75 | 25 |
| 6 - 7 | 43 | 57 |

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[*] The questionnaire item permitted respondents to check as many of the following mechanisms as applied: community survey, Chapter 2 committee, PTA meetings, existing advisory committee, consultation with individuals, school board meetings, and other consultation.

[**] The degree of active involvement resulted from splitting a four-point scale at the midpoint.

The pattern suggested by the table is not necessarily a one-way relationship. The number of mechanisms used by the district may be as much a result, as a cause, of the active involvement of parents or citizens.

## District Actions to Inform the Public About Chapter 2

Our findings about districts' efforts to inform the public about Chapter 2 and what it is supporting poarallel the patterns just described for mechanisms of consultation. Our analyses of this topic, presented more fully in another report (see Blakely and Stearns, 1986), can be summarized as follows:

- Approximately half of all districts make Chapter 2 applications or budget information available to the public. ("Making information available" did not necessarily imply an active process; rather, it often meant "being willing to share information when requested.) A smaller proportion--between one-quarter and one-third--provide evaluations, newsletters, or information on students to interested parents or community members. Larger districts are more likely to make available some kinds of information about Chapter 2 and what it supports.
- Information about Chapter 2 and what it supports is often part of communication to the public about larger programs to which the block grant contributes.
- Districts that make information available to the public about Chapter 2 and what it supports are more likely to have parents actively involved in decisionmaking. A similar pattern applies to districts that make more types of information available to the public.

## Explanations for District Actions

The overall pattern is this: districts tend to invest little effort in consulting with parents or in informing them about Chapter 2 and what it supports. Five factors appeared most responsible for this overall pattern (see Blakely and Stearns, 1986, for more detail on these):

- Small amount of funding. Chapter 2 funding (between 7 and 9 dollars per pupil) is perceived as a small grant, and therefore, not worth the effort of consulting with the community.

- Precendents established under antecedent programs. Most districts did not have programs such as ESAA, Teacher Corps, or ESEA, Title II (Basic Skills Improvement) that encouraged active parent involvement through elected councils or other means. Instead, they made decisions about the federal funds without advice from the community and see no need of this advice under the block grant.

- District Philosophy. Many district administrators believe that parents or other citizens do not belong in the district's decisionmaking process ( afeeling that is often shared by community members), for various reasons, discussed later in this section.

- Lack of explicit regulations. The fact that ECIA did not require any particular form of parent involvement was taken as permission by some districts to drop existing advisory groups and by others as a message that little effort was needed in this area.

- Inattention by the state. The involvement of parents does not appear to be a matter emphasized in state monitoring (where this exists) or guidelines.

## Extent and Nature of Parent and Citizen Involvement

As the pattern of findings about consultation mechanisms and efforts to inform the public may suggest, the level of parent or citizen involvement in the district decisionmaking process concerning the use of Chapter 2 funds is generally low. Survey results on parents seeking involvement, on the kinds of people involved in Chapter 2 decisions, and on participant groups influencing decisions (summarized in Section XI), although varying by district size, consistently show low levels of parent or citizen involvement.

Survey data regarding the extent to which parents or other citizens are actively involved in Chapter 2 decisionmaking shows the basic pattern across district size categories. As Table XII-3 shows the generally low level of active participation in the decisionmaking process decreases as district enrollment gets smaller. The most active involvement occurs in very large suburban districts; the least active, in very small districts (almost all of which are located in small rural communities or sparsely populated counties).

Based on survey and case study data, larger districts appear to be responsive to some local constituency groups and generally involving selected parents and citizens in Chapter 2 program decisions more often than smaller districts. However, smaller districts typically administer programs of relatively small dollar amounts and often face a situation in which parents seem less inclined to be directly involved in the district decisionmaking process.

Although their level or participation varies by district size, the types of parents or citizens involved in the decisionmaking process do not vary by the segment of the community they represent or by district size. Parents representing particular ethnic groups are slightly more likely to be involved in the Chapter 2 decisionmaking process in very large districts where they are active, the affluent, the poor, those representing particular constituent groups or antecedent programs seem equally likely to be participants in the process and their rates of involvement do not vary considerably by district enrollment. This does not imply that districts are equally attentive to the needs of all these groups, especially in the more heterogeneous districts with many needs. Typically, district uses of Chapter 2 funds may respond to one or two salient special needs, at most.

Analyses reported in another report from the National Study (Blakely and Stearns, 1986) indicates that on the whole parents and citizen groups have not sought an active role in Chapter 2-related affairs, although there are important variations by district size. Specifically, we found that:

- Parents and citizens typically do not seek active involvement. Only 14% of all districts report that active involvement was sought; however, the percentage is higher in larger districts, especially the largest suburban districts (enrollments exceeding 25,000), where it was 40%.
- The factors that stimulate parents to seek (and attain) an active role in Chapter 2 decisionmaking include geographic concentration of the community, antecedent program advisory patterns, the size of the Chapter 2 grant, the degree of controversy over programs supported by Chapter 2, major changes in funding under the block grant, and the general socioeconomic and educational level of the community.

Table XII-3

DEGREE TO WHICH PARENTS ARE ACTIVELY INVOLVED IN CHAPTER 2 DECISIONMAKING, BY DISTRICT SIZE

| Size of District (Enrollment) | Median index of parent Involvement* (values range from 0 to 9 | Percent of districts Reporting that parents are actively involved |
|---|---|---|
| Very large (25,000 or more) | 1.9 | 31 |
| Urban | 2.0 | 25 |
| Suburban | 1.9 | 40 |
| Large (10,000 to 24,999) | 1.5 | 15 |
| Medium (2,500 to 9,999) | 1.6 | 18 |
| Small (600 to 2,499) | 1.3 | 15 |
| Very small (under 600) | 1.0 | 11 |
| All districts | 1.3 | 14 |

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*Index of parent involvement summed and questionnaire items that indicated different ways in which parents or citizens could participate in Chapter 2-related matters. Maximum value was 9. See Blakely and Stearns, 1986.

## Factors Affecting Patterns of Involvement

Mail survey responses summarize succinctly the major factors that explain the general lack of public involvement. The most common response was that award amounts were too small to evoke much public interest, especially in the smaller districts as can be seen in Table XII-4. Approximately three-quarters of the very small districts (which received several thousand dollars a year under Chapter 2, on average) indicated that the small size of Chapter 2 grants affected the interest of parents and citizens in Chapter 2 decisions and the district's motivation to involve them. By contrast, only a third of the largest districts (which received several hundred thousand dollars a year on average) indicated the same.

Larger districts, on the other hand, tended to cite parent/citizen satisfaction with current district policies regarding the use of Chapter 2 funds and the fact that program goals did not change. Because they tended to lose funds in the transition from antecedent categorical programs to Chapter 2, as described in Section II, larger districts were often unable to consider many alternatives other than to cut existing programs while trying to retain as many services as possible. Smaller districts, which typically received an increase in funds, were in a position to use the funds to address new goals.

Chapter 2 coordinators frequently perceive the level of interest in and awareness of, Chapter 2 to be low and cite this is a reason for little parent or citizen involvement in approximately a quarter to two-fifths of all districts. Site visits made it clear that the level of community interest and awareness derives in part from the amount of funding and the lack of visible identity for the block grant, which is not aimed at any particular need or target group. District actions probably contribute as well, to the situation: community members are unlikely to be aware of Chapter 2 if district staff do little to consult with them or inform them.

In a similar vein, the self-reported percentage (14%) of districts indicating that their own lack of effort contributed to the low levels of parent participation under estimates the importance of this factor. District officials we interviewed on site were typically candid about the matter, such as one Superintendent who said, "why haven't we gotten parents involved in Chapter 2? Probably we haven't gone out and gotten them." Interviewees gave various reasons for their (lack of) efforts, among them:

- Fear of raising community expectations beyond the limits of the resources Chapter 2 provides.
- A belief that parental advice would not be helpful or eductionally sound.
- Confusion about who the district should consult, given that block grant funds could be used for almost any aspect of the instructional program.
- An expectation (based on experience with other federal programs) that the response from parents would be poor, no matter how hard the district tried.

## Influence of Parents and Citizens on Chapter 2 Decisions

Although parents and citizens have not been heavily involved as participants in the formal Chapter 2 decisionmaking process and have not directly influenced decisions in most districts, there is evidence from both the mail survey and site visits. that parents have some indirect influence on local Chapter 2 program decisions. "Community preferences" was the fourth most frequently cited factor affecting district decisions (28% of all districts) out of 12 possibilities, including factors such as increases or decreases in funds, the desire to continue antecedent programs, or the overall educational priorities of the district. Site visit data indicates that district decisionmakers are often responsive to a vocal segment of the community as they decide what to do with block grant funds.

The kind of community preferences to which district decisionmakers listen tend to be salient concerns expressed about the district's educational program as a whole. For example,

- In a small rural community, parents were vocal about the need for more remediation when a new state mandate prohibited promoting students who failed the state competency tests. Here, Chapter 2 funds were used to beef up the Chapter 1 reading program.
- In one large midwestern district, the presence of high-technology industry and the upwardly mobile suburban population employed by it influenced the local district's decisions regarding the use of Chapter 2 funds to promote the introduction of microcomputers into the classroom.

## Table XII-4

## DISTRICTS' EXPLANATIONS FOR LACK OF PARENT AND CITIZEN INVOLVEMENT IN CHAPTER 2 DECISIONMAKING, BY SIZE OF DISTRICT

| Size of District (Enrollment) | Percent of districts indicating reason | | | | |
|---|---|---|---|---|---|
| | Award amount too small | Citizens satisfied with programs | Program goals did not change | Low public interest/ awareness | LEA didn't encourage public involvement |
| Very large (25,000 or more) | 33 | 62 | 58 | 27 | 12 |
| Urban | 36 | 50 | 70 | 25 | 14 |
| Suburban | 29 | 77 | 41 | 30 | 8 |
| Large (10,000 to 24,999) | 41 | 70 | 54 | 37 | 16 |
| Medium (2,500 to 9,999) | 57 | 66 | 48 | 28 | 9 |
| Small (600 to 2,499) | 55 | 56 | 38 | 32 | 15 |
| Very small (under 600) | 77 | 51 | 30 | 39 | 16 |
| All districts | 64 | 56 | 37 | 34 | 14 |

The proportion of districts citing community influence as an important Chapter 2 decisionmaking factor was greater in larger districts than in smaller districts, as demonstrated in Table XII-5). Nonetheless, in small districts the school system is often such a focal point of the entire community that some indirect influence naturally occurs, at least regarding general educational priorities.

Table XII-5

COMMUNITY PREFERENCES AS A FACTOR INFLUENCING LOCAL USE OF CHAPTER 2 FUNDS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percent of districts reporting community preferences as a very important factor in Chapter 2 Decisionmaking |
|---|---|
| Very large (25,000 or more) | 41 |
| Urban | 33 |
| Suburban | 50 |
| Large (10,000 to 24,999) | 37 |
| Medium (2,500 to 9,999) | 36 |
| Small (600 to 2,499) | 28 |
| Very small (Under 600) | 23 |
| All districts | 28 |

# XIII LOCAL EVALUATION

One type of local administrative activity under the block grant--evaluation--is noticeably more problematic than others (except for the administration of services for private school students, discussed in Section XVI). Local evaluation is not required by Chapter 2; however, districts must keep records that may be required of them for evaluative purposes by state education agencies (SEAs). In practice, SEAs determine how much or how little evaluation districts must do under the block grant. Beyond that, what districts do to evaluate Chapter 2 reflects local traditions and beliefs in the value of this activity.

We review in this section our findings about the extent and nature of local evaluation under Chapter 2 and the audiences for it, followed by a discussion of the factors that influence districts' evaluation efforts.

## Summary

Our findings in this section can be summarized as follows. First, regarding the nature and extent of Chapter 2 evaluation and the audiences for it, we found that:

(1) Formal evaluation of some or all of the uses of the Chapter 2 funds is relatively unusual (respondents in only a tenth of all districts reported, for example, that they formally evaluate all of their uses of these funds). More typically, districts collect simple statistics about participants and purchases (in approximately two-fifths of all districts) or gather informal feedback for internal use only on activities supported by the block grant (in 88% of all districts).

(2) Structured evaluation of block grant support is more likely to be done in larger districts (which have more to evaluate and more resources or expertise to do it with).

(3) The demand for evaluative information at the local level is not extensive. Chapter 2 coordinators in a quarter of all districts indicate that nobody has expressed an interest in this information. Elsewhere, the most frequently mentioned audiences are the superintendent and the state department of education, each in 44% of all districts. Interest among parents, other community members, and private school officials is generally low. Where audience interest is more extensive, districts are more likely to formally evaluate Chapter 2.

Second, regarding our analyses of influences on local Chapter 2 evaluations, we identified five factors, in addition to the interest expressed by various audiences, that shape what districts do to evaluate their uses of Chapter 2 and how they do it:

(4) District administrators take their cue from state requests for evaluative information (as required by ECIA law). These requirements vary considerably across states, from those that ask for evaluation designs as part of the district's application for funds to those that require nothing.

(5) Local traditions about the value of evaluation and the appropriate approaches to it partially determine how much districts will invest in this activity.

(6) The amount of resources available to districts from Chapter 2 (or elsewhere) affects perceptions of the importance of evaluation and the wherewithal to carry it out. (Only the largest districts use Chapter 2 funds for evaluation in significant numbers; a quarter of them do so).

(7) The availability of expertise makes a difference, too: Local staff often feel they lack expertise in evaluation, especially in smaller districts, and consequently do not carry out evaluations.

(8) From the perspective of many local administrators, certain types of block grant support (e.g., for materials or equipment acquisition) are less susceptible to evaluation than others and consequently are not evaluated, because these administrators do not believe it is possible or meaningful to do so.

## The Nature of Local Evaluation and the Audiences for It

As Table XIII-1 shows, formal evaluation of some or all of the activities supported by Chapter 2 is relatively unusual. Fewer than a quarter of all districts nationwide engage in formal efforts, and only

Table XIII-1

# EVALUATION OF ACTIVITIES SUPPORTED BY CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts in each size category that evaluate their use of Chapter 2 funds by... | | | |
|---|---|---|---|---|
| | Gathering informal feedback on uses of the funds | Collecting simple statistics describing purchases or participants | Conducting formal evaluations of... | |
| | | | Some uses | All uses |
| Very large (25,000 or more) | 78 | 70 | 48 | 24 |
| Urban | 69 | 67 | 57 | 23 |
| Suburban | 88 | 74 | 38 | 24 |
| Large (10,000 to 24,999) | 79 | 62 | 41 | 19 |
| Medium (2,500 to 9,999) | 86 | 60 | 34 | 13 |
| Small (600 to 2,499) | 88 | 47 | 23 | 8 |
| Very small (under 600) | 91 | 26 | 5 | 9 |
| All districts | 88 | 42 | 19 | 10 |

one-tenth formally evaluate all uses of Chapter 2. More typically, districts simple statistics are collected about participants or purchases (in approximately two-fifths of all districts) or informal feedback gathered on Chapter 2-supported activities (in almost nine-tenths of all districts). Districts typically gather information for their own internal purposes through conversations between the Chapter 2 coordinators and school staff, principals' meetings, or meetings of relevant district committees. The other, more formal, approaches to evaluation usually result in some form of document (e.g., a report to the school board, an annual evaluation report for the SEA) that can be shared with various audiences inside and outside the district. By contrast, in smaller districts, when we asked on-site how, for example, additional library purchases or new middle-school computers were being evaluated, we often got blank stares.

Across all districts, Chapter 2 coordinators tend not to perceive widespread demand for local evaluative information about Chapter 2-supported activities, as Table XIII-2 indicates. The general interest in evaluation of Chapter 2 is low, especially by parents, other community members, or private school officials. The two most frequent audiences are the superintendent and the state education agency. The interest these two audiences have in evaluation ranges from genuine curiosity in the usefulness of block grant funding to support for evaluation as a bureaucratic ritual. This could lead to anomalies, as in the case of one state we visited where the SEA requires districts to conduct and submit a yearly evaluation but does not read them; SEA staff believe the exercise is for the districts' own good. In the three districts we visited within the state, however, district staff believe that they are doing the evaluation only to satisfy a state requirement and consequently make no use of the evaluation results themselves.

Nonetheless, the table suggests that where there is interest among a variety of audiences in some kind of evaluative information, districts respond in kind. For example, in districts which collect simple statistics on purchases and participants, school board members, district school staff, and parents have more frequently indicated a desire for this information

Table XIII-2

## AUDIENCES FOR LOCAL EVALUATION OF CHAPTER 2-SUPPORTED ACTIVITIES

| Audiences | Percentage indicating that each audience has expressed an interest in Chapter 2 evaluations among... | | |
|---|---|---|---|
| | All districts | Districts that collect simple statistics on uses of funds | Districts that do formal evaluations of all uses of funds |
| **District Level** | | | |
| School board | 30 | 37 | 43 |
| Superintendent | 44 | 48 | 68 |
| Other district administrators | 20 | 24 | 27 |
| **School Level** | | | |
| Principals | 26 | 31 | 37 |
| Teachers | 27 | 27 | 36 |
| **Community** | | | |
| Parents | 11 | 17 | 28 |
| Other community members | 3 | 2 | 7 |
| **Other** | | | |
| State department of education | 44 | 51 | 65 |
| Private school officials | 2 | 2 | 2 |
| Others | 2 | 4 | 2 |
| Nobody has expressed interest in evaluation | 25 | 18 | 12 |

than in other districts. Furthermore, the more that audiences of all kinds express an interest in evaluations the more likely that the district does formal Chapter 2 evaluations.

## Influences on Local Evaluation

In addition to the interest in evaluation expressed by the audiences mentioned above, our analyses suggest that five factors shape districts' approaches to evaluation under the education block grant:

- State requirements
- Local "climate" for evaluation
- The availability of resources for evaluation
- The availability of local evaluation expertise
- Beliefs about the feasibility of evaluating Chapter 2 support for certain types of educational activities.

First, and probably most important, districts take their cue from the state education agency, which, in accordance with ECIA law and regulations, may require evaluative information from the district. In some states this takes the form of a simple questionnaire, for example, soliciting numbers of participants or attitudes about the block grant's usefulness. Other SEAs ask districts to propose an evaluation design as part of their applications for funds, but leave each district to devise its own approach to evaluation, on the theory that the spirit of the block grant implies flexibility in evaluation as in other areas of local operations. Still other states, believing that evaluation constitutes an unnecessary burden on the local level, require little or no evaluation of their districts. Districts, on their part, interpret this approach as a signal that the state doesn't care or else that evaluation is unimportant.

Second, regardless of what the state requires under the block grant, most districts have, by now, developed a basic posture toward evaluating federal programs, through long experience with those that preceded Chapter 2 or other programs such as Chapter 1 (formerly Title I). This posture is another important determinant of whether and how districts evaluate Chapter 2. In some districts, staff believe in the idea of evaluation; they see it as important to do for internal review of programs or as a way of responding to local constituencies. These staff are likely to devise some relatively formal means, such as surveys, for gathering data on what they are doing with Chapter 2 funds. More often, districts see formal evaluation as a waste of time, preferring to use existing communication channels as a means of "informal feedback." A Chapter 2 coordinator in one large Southern district stated the case in strong terms:

> "I wish you hadn't asked [about evaluation].... We could save a lot of money if we put it all into programs. I would rather see it go to the kids. We're spending too much on evaluation, especially when we pay for audits, which is indirectly part of evaluation.... Evaluations are given to staff, the Board, or to the Advisory Committee we then had. As far as I can remember, I never heard a board member say, "what you're doing is in question." Eventually [the evaluations] find their way into the trash."

Third, as the quote indicates, formal evaluation of any kind takes resources. Districts often feel they have little to spare for this task. In most districts the Chapter 2 yearly grant is relatively small to begin with and tends to be divided up among a number of uses. This fact contributes to a perception that block grant funds are not sufficient to allocate to evaluation. Only the largest districts, as Table XIII-3 indicates, are likely to put Chapter 2 funds into evaluation. (These funds are not always used for evaluating Chapter 2; for example, in one large district we visited, $50,000 in block grant funds had gone to the purchase of up-to-date computer equipment for use in all aspects of the evaluation unit's activities.) More often, local (or other federal) funds cover the time and expense of collecting data about Chapter 2, if this is done at all.

Fourth, the availability of resources for evaluation does not mean that the necessary expertise is there. Staff in many districts feel that they do not know how to conduct or write up a proper evaluation of Chapter 2-supported activities. A Chapter 2 coordinator in a small rural district (who managed the Chapter 1 program as well) expressed a widespread sentiment in these terms:

## Table XIII-3

## USE OF CHAPTER 2 FUNDS FOR EVALUATION, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of Districts in Each Size Category That Use Some of Their 1984-85 Chapter 2 Funds to Support Evaluation Activities* |
|---|---|
| Very large (25,000 or more) | 2% |
| Urban | 29 |
| Suburban | 22 |
| Large (10,000 to 24,999) | 7 |
| Medium (2,500 to 9,999) | 2 |
| Small (600 to 2,499) | 1 |
| Very small (under 600) | ** |
| All districts | 1 |

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[*] Not necessarily used solely for evaluation of Chapter 2 activities.

[**] Less than 1%.

> "To me, if we're reporting instructional effects, there are no guidelines from the state. That would help. Maybe it's difficult with such a variety of programs. Evaluation is hard for us; we must muddle through. I see it as a necessity for both us and [the state]. I would do it anyway [even if not required to], but I wouldn't necessarily write it up in a formal report."

These kinds of feelings are less evident in situations where district staff are experienced in evaluation, or where Chapter 2 supports part of a larger project for which an evaluation design is already in place. There, districts tend to let the overall project evaluation stand as an assessment of Chapter 2.

Districts can also turn to outsiders for help. In one district in a small Southern city, the LEA had contracted with a professor from a neighboring university for $3,000 per year to evaluate the implementation and effectiveness of block grant support. (The same individual provided a similar service to three or four other districts in this area.)

Fifth, the nature of what is to be evaluated shapes evaluation approaches as much as anything else. From the perspective of district administrators, certain types of block grant support are less susceptible to evaluation than others.

- Many district administrators believe that equipment or materials purchases cannot be meaningfully evaluated, especially where these are part of an ongoing library acquisition program. Administrators we interviewed were also puzzled about how to approach the evaluation of Chapter 2 support for computers.

- Staff development activities are more likely to be seen as evaluable, but only at the level of attitude surveys or participant counts.

- Curriculum development projects can be evaluated, as district staff view it (but because most of these projects were in process at the time of our site visits, little had been done to gather data on their effects).

- Instructional or student support services supported by Chapter 2 resemble most closely the programs to which districts have applied conventional evaluation approaches (as in the case of Chapter 1 programs). Here, district staff tend to feel they are on more familiar ground.

# PART FOUR

## THE BLOCK GRANT AND PRIVATE SCHOOL STUDENTS

This part of the report summarizes our findings regarding the involvement of private school students in activities funded by the block grant. Separate sections deal with:

- The participation of private school students (Section XIV).
- The distribution of funds to serve private school students and the services these funds support (Section XV).
- Administration of services for private school students (Section XVI).

### Highlights of Major Findings in This Part

#### Participation of Private School Students

- Extent of participation. Approximately two-fifths of the nation's school districts (with enrollments of 600 or more students*) have private schools eligible to have their students participate in Chapter 2. Three-quarters of these districts use block grant funds to serve these students; in the remainder, the private schools elect not to have their students take part.
- Changes in participation with the block grant. In most districts there is no change in the number of private schools having their students participate in Chapter 2 from the time of antecedent programs to the present; approximately a fifth of districts report an increase; few report a decrease. New participants, primarily from non-Catholic schools, are attracted by the availability of more

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* All percentages noted in this summary and in the succeeding sections, except for the overall proportion of districts with eligible private schools, refer to all districts with enrollments of 600 or more. See explanation in Cooperstein (1986).

funding than before Chapter 2, the perception of greater flexibility, and the administrative simplicity of the block grant.

- Nonparticipation. Many eligible private schools elect not to have their students participate in Chapter 2, primarily because of philosophical opposition to participating in government programs or, in the case of the smaller private schools in particular, the relatively small amount of money available to serve their students.

## Expenditures and Services for Private School Students

- Allocation of funds to serve private school students. On average, 14% of the districts' annual Chapter 2 allocation goes to services for private school students, although there is wide variation among districts in this percentage. This figure translates into an overall average $1,272 per private school (the unit by which districts typically spend money for services to these students).

- Comparison of expenditures for public and private school students. The vast majority of districts (94%) spend an equal amount per pupil for public and private school students. Unequal expenditures per pupil can result where districts adjust spending according to special needs that are differentially distributed among schools, disproportionately reallocate funds that would have gone to services for students in nonparticipating private schools, or differentially charge the costs of administering these services.

- Changes in funds allocation since before the block grant. Chapter 2 made more money available, in aggregate, for services to private school students. In certain types of districts (e.g., large urban districts formerly receiving ESAA grants), a larger proportion of the district's federal funds are allocated to serve private school students under Chapter 2 than before the block grant; 29% of all districts indicate that this was the case. Local concerns about spending equally for public and private school students are often voiced in these situations and where private school students are perceived as less needy than public school students.

- Nature of services for private school students. Virtually all (92%) of the districts serving these students under Chapter 2 purchase equipment and materials for their use, to support libraries, media centers, other school departments, or computer applications. Relatively few districts use the block grant to support curriculum development, staff development, instructional services (e.g., compensatory or bilingual education), or student support services (e.g., counseling, testing). Chapter 2-supported services typically take place on private school premises and tend to benefit all students in each participating school or all within a few grades.

- Comparison of services to public and private school students. The range of services made available to private school students under Chapter 2 is narrower, on the whole, than that for public school students. Although district actions often restrict the range of options for these services, private school officials are generally satisfied and believe Chapter 2 is supporting what their students need. The small amount of funds available to serve students in a given private school, the generally tight budgets for equipment and materials in these schools, and expectations established under antecedent programs make materials and equipment a logical choice for private school officials.

- Changes in the equitability of services since before the block grant. Even though their students often are not receiving the same services as public school students, private school officials tend to believe that services offered to private school students are either as equitable as before the block grant, or are more so.

## Administration of Services to Private School Students

- Overall pattern of administration. District administration of private school services under the block grant is fairly routinized and tends to differ little from procedures set up under antecedent programs, especially ESEA Title IV-B.

- Notification and consultation. Typically, all private schools that are, or are thought to be, eligible are notified. Consultation generally consists of informing private school officials of the amount of funds available to serve students in each school and soliciting an application (or equivalent request) for use of these funds.

- Monitoring and evaluation. Virtually all districts monitor Chapter 2-supported services to private schools to some degree, typically by checking private school requests (and resulting purchase orders) for conformity to Chapter 2 guidelines, but not by actual on-site monitoring. Districts tend to monitor the nature of these services, not their implementation. Districts tend not to evaluate services for private school students.

- Role of the state education agency (SEA) and private school organizations. SEA guidance varies greatly from actively instructing districts on the details of serving private school students to maintaining a completely hands-off posture. Private school organizations, especially Catholic dioceses, can be active as liaisons between district and private schools and as supports to the principals of these schools.

- Problems encountered in administering services for private school students. Especially in districts with large numbers of private schools, the administration of these services can be complex: the great majority (83%) of the largest urban districts, for example, find notification, consultation, paperwork, monitoring, unreimbursed administrative costs, or a combination of these to be a burden. Across all districts serving private school students, the majority report no problems. Administrative burdens appear to be less where administrative arrangements are well established, where Chapter 2 coordinators do not have too many other responsibilities, and where private school organizations help facilitate the administrative process.

- Quality of relationships between districts and private schools under the block grant. These relationships tend to be more harmonious (or at least civil) when the state context encourages services to private school students, local leadership is supportive, the community has a strong religious base, and the local public and private school systems are informally linked (e.g., through feeder system patterns). Disharmony is especially likely if the district's administrative task is exceedingly complex and its personnel have turned over rapidly or are opposed on principle to serving private school students with public funds. Perceptions of inequitable expenditures, differentially distributed special needs, and large reductions in federal funding under the block grant also contribute to disharmony between public and private schools.

# XIV THE PARTICIPATION OF PRIVATE SCHOOL STUDENTS*

To analyze how private school students participate in Chapter 2, we must first describe the patterns of eligibility among the schools they attend, the numbers and types of schools that do and do not elect to have their students participate, the change in participation since antecedent programs, and the reasons for the private schools' decisions. In this section, we summarize those findings.

## Summary

The analyses presented in this section can be summarized as follows. First, regarding the participation of private school students:

(1) Approximately two-fifths (42%) of all districts in the nation have private schools within their boundaries eligible to have their students participate in Chapter 2; this percentage varies by district size, from 100% of very large districts (enrollment of 25,000 or more) to 16% of districts with enrollment under 600.

(2) Not all eligible private schools elect to have their students participate in Chapter 2. Overall, three-quarters of districts with eligible private schools in their boundaries serve students in at least some of these schools. In the average district, approximately two-thirds of the eligible private schools opt to have their students receive Chapter 2 benefits.

(3) Students participating in Chapter 2 attend both religious and nondenominational schools; Catholic schools are the most frequent source of participants.

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*This section is adapted from another report from the National Study (Cooperstein, 1986).

Second, regarding change in participation since before the block grant, we found that:

(4) The majority of districts nationwide report no increase in the number of private schools with students participating in Chapter 2, as compared with antecedent programs. Few districts indicate decreased participation by private school students. Increased participation is especially likely in very large urban districts. Participation by students from non-Catholic schools appears to account for most of the change in participation since before the start of the block grant.

(5) Private schools electing to have their students participate for the first time cite three major reasons: (a) the availability of more funds for these services, (b) a perception of greater flexibility under Chapter 2, and (c) a perception of decreased administrative complexity. Some districts also have made a greater effort to encourage the participation of private school students in Chapter 2 than under the antecedent programs.

Third, our analyses of nonparticipation lead to the following findings:

(6) Many eligible private schools elect not to have their students participate in Chapter 2, usually because of philosophical opposition to participation in government programs or the small amount of money available for services their students might receive.

(7) Lack of outreach on the part of districts does not seem to be a major factor in the nonparticipation of private school students. There is thus little evidence that districts systematically deny private school students access to services under Chapter 2.

## Overall Participation Patterns

Approximately two-fifths (42%) of all districts have private schools within their boundaries eligible to have their students participate in Chapter 2.* This percentage varies greatly by district size; all the districts enrolling 25,000 or more students have eligible private schools, but the percentage decreases greatly in the smaller districts, to a low of 16% in districts enrolling fewer than 600 students.

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* Private schools must be nonprofit and comply with Title VI of the 1964 Civil Rights Act (nondiscrimination on the basis of race or national origin) to be eligible for their students to receive services under Chapter 2.

In the majority of those districts with eligible private schools, the private school student component of Chapter 2 is administered at the local level, rather than (in a small number of states) at the level of intermediate units or through a bypass contract between the U. S. Department of Education and a third-party service provider. Our study focused on only those districts administering the private school student component of Chapter 2 at the local level.

Not all eligible private schools elect to have their students participate in Chapter 2. As can be seen in the first column of Table XIV-1, about three-quarters of districts with eligible private schools have at least some schools with students participating. When all districts in the nation are considered, this figure drops to a little over a third, as the second column in the table indicates. Again, the extent of participation varies by district size, with the majority of larger districts, but only a minority of smaller districts, serving private school students.

Districts vary widely in the number of private schools with students participating in Chapter 2. Overall, in the average district, approximately two-thirds of the eligible schools have students receiving services under Chapter 2. As Table XIV-2 shows, the number of these schools varies greatly by district size. These numbers still mask a large variation among individual districts. Across all size categories, the number of eligible private schools ranges from 1 to 435, the number of schools with participating students ranges from 1 to 328, and the estimated number of participating private school students ranges from 6 to 96,238.*

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* These figures do not include the largest school district in the nation, which did not respond to our questionnaire.

Table XIV-1

## DISTRICTS SERVING PRIVATE SCHOOL STUDENTS IN ACTIVITIES SUPPORTED BY CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts serving private school students in the 1984-85 school year among... | |
|---|---|---|
| | Districts with eligible private schools* | All districts nationwide |
| Very large (25,000 or more) | 95 | 87 |
| Urban | 98 | 90 |
| Suburban | 92 | 89 |
| Large (10,000 to 24,999) | 86 | 75 |
| Medium (2,500 to 9,999) | 79 | 47 |
| Small (600 to 2,499) | 67 | 26 |
| All districts (600 or more)** | 75 | 37 |

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[*] In which the private school student component is administered at the district level.

[**] All analyses of services to private school students reported in this study are done with districts enrolling 600 or more students because of the unreliability of estimates based on the small number of responding districts in this size category that serve private school students. Of a total of 15,533 districts, 6,508 (41.9%) are thus excluded from analysis; these comprise 3.8% of the nation's students. See Cooperstein (1986) for details.

Table XIV-2

## AVERAGE NUMBER OF PRIVATE SCHOOLS AND PRIVATE SCHOOL STUDENTS ELIGIBLE FOR, AND PARTICIPATING IN, CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Median number of private schools per district ... | | Median number of private school students per district participating in Chapter 2 in 1983-84**,+ |
|---|---|---|---|
| | Eligible for Chapter 2-supported activities in 1984-85* | With students participating in Chapter 2-supported activities in 1984-85** | |
| Very large (25,000 or more) | 19 | 12 | 3,143 |
| Urban | 29 | 17 | 4,164 |
| Suburban | 15 | 7 | 2,596 |
| Large (10,000 to 24,999) | 5 | 4 | 1,097 |
| Medium (2,500 to 9,999) | 2 | 2 | 338 |
| Small (600 to 2,499) | 1 | 1 | 199 |
| All districts (600 or more) | 2 | 2 | 350 |

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[*] Among districts with one or more eligible private schools, and in which the private school student component is administered at the district level.

[**] Among districts with one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

[+] Because of the constraints of the data gathered, this number could be estimated only for those districts (94%) reporting that they spent an equal amount for services to public and private school students under Chapter 2 (see Appendix E for details).

The types of private schools with students participating in Chapter 2 include both religious and nondenominational schools. In nearly all (94%) of the districts with enrollments of 600 or more serving private school students under Chapter 2, the students attend at least one school affiliated with a religious denomination. In our site visits, the most common private schools with students participating in Chapter 2 were Catholic, which was to be expected since Catholic schools make up about 50% of the nation's private schools (Nehrt, 1981), and since many studies (e.g., Coleman, 1981) have pointed to virtually 100% participation of these schools in Title IV-B, the main antecedent program in which students in private schools took part. We also saw other examples of both denominational (including Jewish, Christian, Lutheran, and Seventh Day Adventist) and nondenominational schools with students participating in Chapter 2.

## Changes in Participation with the Block Grant

Overall, for a large majority (80%) of districts that have eligible private schools (and that administer the services for students in these schools), the number of private schools with students participating in Chapter 2 has stayed approximately the same as under the antecedent programs (see Table XIV-3). Very few districts reported a decrease in participation with the change to the block grant. However, participation increased in a substantial number of larger districts, and especially in the very large cities (59%). We have no data on the size of any increase or decrease; for example, districts would have responded "greater" to an increase of one or many schools. It is probable that increases were more common in larger districts in part because there are more private schools in these districts than elsewhere, so that larger districts are more likely to have had schools with students not participating in the antecedent programs.*

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* We have no data about the size of the increase in student participation. Our case study data suggest that most newly participating schools are small. The General Accounting Office (1984), on the other hand, in a study of LEAs in 13 states, found that the number of private school students served (based on district self-reports) nearly doubled with the change to the block grant. See Cooperstein (1986).

## Table XIV-3

## CHANGE IN NUMBERS OF PRIVATE SCHOOLS WITH STUDENTS PARTICIPATING IN ANTECEDENT PROGRAMS COMPARED WITH CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts* in which the number of private schools with students participating in Chapter 2 during the 1984-85 school year (compared with the antecedents) is... | | |
|---|---|---|---|
| | Greater | The same | Less |
| Very large (25,000 or more) | 48 | 43 | 9 |
| Urban | 59 | 38 | 3 |
| Suburban | 37 | 48 | 15 |
| Large (10,000 to 24,999) | 27 | 68 | 5 |
| Medium (2,500 to 9,999) | 18 | 79 | 3 |
| Small (600 to 2,499) | 13 | 87 | 0 |
| All districts (600 or more) | 18 | 80 | 2 |

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* Among districts with one or more eligible private schools, and in which the private school student component is administered at the district level.

The increase since the change to the block grant seems to result from the growing participation of students from non-Catholic schools, since participation in the Catholic schools was already high. We saw many examples of students in both religious (e.g., Jewish, Muslim, Seventh Day Adventist) and nondenominational schools becoming new participants under Chapter 2. The major reasons for increased participation under Chapter 2 appear to be:

- The availability of more funds to provide services to private school students under Chapter 2.
- Private school officials' perception of greater flexibility under Chapter 2.
- The perception of decreased administrative complexity under Chapter 2.

Several examples of schools starting to have their students participate because of the increased flexibility and decreased administrative complexity under Chapter 2 follow:

- In a medium-sized rural county district, a Seventh Day Adventist school received Chapter 2 services for its students in defiance of its regional organization (which forbids participation in government programs) after district personnel convinced the principal that there were no strings to fear in Chapter 2 and that no decisions would be forced on the school beyond reasonable guidelines. The principal now states that he likes Chapter 2 and appreciates its simplicity (e.g., a one-page form). The Seventh Day Adventist regional office has responded by viewing this maverick school's decision as an experiment, and it intends to reevaluate its opposition to participation in Chapter 2.
- A relatively wealthy independent boarding school in an affluent suburban district had elected not to have its students participate in Title IV-B, which it perceived as a book supply program, because the administration felt that its students did not really need extra services and because of perceived administrative hassles and government controls. However, the flexibility of Chapter 2 was enough to overcome this reluctance to have its students participate. The principal said, "Chapter 2 gave us an opportunity to provide a specialized program or service that was not otherwise provided" (Chapter 2 provides a teacher and supplies for an art program on Saturdays).

Another example also illustrates this point, although it concerns a school too new to have had its students participate in the antecedent programs:

- An independent school in a very large city at first decided not to have its students participate in Chapter 2 because its school board thought that Chapter 2 would be complicated and not worth the bother for the relatively small amount of services involved (approximately $1,000 was available for these services). This impression was based on hearsay; the board had heard that getting "Title [services]" was hard, required paperwork done in triplicate, came with strings attached, etc. However, after talking to district personnel, the principal realized that his students' participation in Chapter 2 was simple and that few strings were attached. This school now has its students participating in Chapter 2.

Some districts have made a greater attempt to encourage the participation of private school students in Chapter 2 than under the antecedent programs. Often, this change may have been an indirect result of the greater federal emphasis on private school student participation, which has filtered down through the states (perhaps in the form of monitoring), leading to greater local outreach--e.g., information dissemination, follow-up, etc. However, this is not true in all states, such as those with a long history of private school student participation in state and federal programs (in which outreach was already high), or those with state restrictions concerning interference with the affairs of private schools.

We saw some evidence of a growing awareness and interest among private school officials in Chapter 2 over the 3 years of the block grant, resulting in a trickle of private schools electing to have their students join the program each year. For example, in one state we visited, of the 55 schools in an association of independent schools, an estimated 15 have students who participate in Chapter 2; this number is growing, according to a representative of this organization:

> "Originally [the schools] didn't care; then they didn't know what was available. Then some heard of examples where it worked. [Schools learn about Chapter 2] through principals' meetings once a month. I've always kept them informed. After one or two have taken part, others see the advantages. Soon their boards get interested, they talk to a lawyer, and then go for it. It's a gradual process. I think more will apply next year."

This individual went on to say that the schools he represented liked Chapter 2 better than other federal programs because of the lack of federal control.

## Reasons for Nonparticipation in Chapter 2

We identified three major reasons why many eligible private schools elect not to have their students participate in Chapter 2. First, and most important, private schools are often philosophically opposed to participation in government programs. We learned of private school officials in both denominational (including Seventh Day Adventist, Southern Baptist, and Christian Fundamentalist) and nondenominational schools that felt this way, for example:

- A Christian school in a very large city does not accept state or federal services (other than transportation) because its board decided that it did not want to depend on a secular government to run a Christian school. The school wants its employees to be born-again Christians. In addition, this school wants to select its own texts "on a spiritual basis."
- A principal of a Christian Fundamentalist school in another district, when approached about his students' participation in federal programs, told the Chapter 2 coordinator that he did not want to be involved in the "devil's work."
- A librarian in a Catholic high school told us that the librarian from an elite private school "called me to find out how to get the Chapter 2 [services], but the board [of the school] was afraid that the federal government wants to try to run the school."

Second, private school organizations can encourage or discourage philosophical opposition to federal programs. Some private school organizations demand participation; for example, a diocesan representative commented that all Catholic schools in the diocese have their students participate "or they would be in trouble with me." Others specifically do not adopt a policy, while still others take a stance opposed to participation. One state's Conference of Seventh Day Adventists, for example, has a long-standing policy (at least 100 years old) of not accepting any federal or state services, in order to maintain separation of church and state. But even when organizations have a policy in opposition to participation, some schools ignore it.

Third, the small amount of money available to provide Chapter 2 services for students in some private schools acts as a disincentive to participation. For example, we talked to the principal of a very small independent school (currently enrolling 29 students) for children with developmental difficulties; he does not elect to have his students participate in Chapter 2 because he feels that the amount of services involved (currently $240 is available for these services) is not worth the paperwork and bother, however minimal. In another district, a principal of a private school with five students also felt that the level of services available was not worth his effort. The Chapter 2 coordinator in a third district said, "We had one [school] one year that said it's not enough to bother with--$50."

A lack of outreach on the part of local districts does not seem to be a major factor in nonparticipation. In the districts we visited, all eligible schools were notified about Chapter 2.* The amount of follow-up varied, however. In some districts, Chapter 2 coordinators do a considerable amount of follow-up; for example, one Chapter 2 coordinator said:

> "We call them some. They have limited staff, and the [private school] contact person may be overextended. We had one--we couldn't get any response after repeated calls. My secretary stopped calling because she was embarrassed, and I had to. They swore they would send it in, so something was hand-delivered."

Follow-up seems to be more common when it is mandated by the state, such as when districts are required to get signed waiver letters from schools that do not want their students to participate. On the other hand, in many districts, follow-up is not necessary; many schools (e.g., the

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*The lists of private schools for notification, often furnished by the state, may or may not be up to date or complete. See Cooperstein (1986).

Catholic schools) have a long history of student participation in federal and state programs and do not need encouragement to have their students participate in Chapter 2. In many other districts, follow-up would be futile; many private schools have never elected to have their students participate in government programs and have told districts that nonparticipation is a matter of principle. Some districts' follow-up efforts are further limited by state law forbidding intrusion into the affairs of private schools.

# XV EXPENDITURES AND SERVICES FOR PRIVATE SCHOOL STUDENTS*

We describe in this section the amounts of Chapter 2 funds used for services to private school students and the kinds of services these funds buy. First, we summarize the amounts of funds allocated to these services, and then discuss the degree of equality in expenditures for public and private school students and the effect of the block grant on the distribution of funds to private school students. Second, we describe the nature of the services private school students receive under the block grant. Following that, we examine the comparability of services for public and private school students and note the extent of change since antecedent programs.

## Summary

First, regarding local allocation of Chapter 2 funds for private school student services, we found:

(1) On average, 14% of the district's annual Chapter 2 allocation is used to pay for services to private school students, although there is a considerable range, from less than 1% to more than 50%.

(2) The annual amount of Chapter 2 funds available for services to students in any given private school (the unit for which purchases are usually made) is small, ranging from $2,224 per school in very large districts to $879 per school in small districts, with an overall average amount of $1,272 per school.

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*See another report from the National Study (Cooperstein, 1986) for a more detailed discussion of this topic.

Second, the analyses in this section support the following findings about the comparison of expenditures for public and private school students under Chapter 2:

(3) The vast majority (94%) of districts nationwide spend an equal amount per pupil of their Chapter 2 allocations on services to public and private school students.

(4) Unequal expenditures per pupil for public and private school students could arise as a result of:

- Adjusting spending in accordance with differing student needs, where needs were differentially distributed across public and private schools.
- Allocating high-cost funds to services in proportion to the students that generated these funds.
- Reallocating funds that would have gone to nonparticipating private school students to students either in the public schools or the participating private schools, but not both.
- Differentially charging the costs of administering the public and private school student services.

(5) With the change to the block grant, more money became available to provide services to private school students--in aggregate, nearly three times what antecedent programs were likely to provide.

(6) In certain types of districts (especially large urban districts that had formerly received ESAA grants), a larger proportion of the district's allocation is available for services to private school students than under antecedent programs. The majority (71%) of districts serving private school students, however, do not report that an increased proportion of their funds goes for these services.

(7) Local concern about equal per pupil expenditures for public and private school students is heard in some former ESAA districts; it is also heard in districts where high-cost or special funds generated by public school student characteristics or activities (e.g., related to desegregation) are expended for private school student services, where private school student participation has grown, or where private school students are perceived as less needy than public school students.

Third, we found the following with regard to the types of services private school students receive:

(8) In virtually all districts (92%) serving private school students, Chapter 2 funds purchase instructional materials and equipment other than computers for these students; in two-thirds, purchases include computer hardware or software. Other types of service occur much less frequently under the block grant: curriculum or new-program development, staff development, instructional programs (e.g., compensatory), and student support services (e.g., counseling) are provided to private school students in fewer than a quarter of the districts serving these students. There has been very little change in private school student services over the 3 years of the block grant.

(9) Most of these services are provided on the private school premises. (Our data collection occurred shortly before the U.S. Supreme Court's Aguilar et al. v. Felton et al. ruling; this pattern may have changed since.)

(10) Activities supported by Chapter 2 tend to benefit all students in each participating private school or all within a few grades, rather than being targeted to the special needs of a few.

Fourth, regarding the comparability of services to public and private school students, we found that:

(11) The range of services made available to private school students under Chapter 2 is narrower, on the whole, than that for public school students. Districts less often use funds for computer applications, curriculum or new-program development, student support services, instructional programs, or staff development aimed at private school students (or staff) than they do for public school students.

(12) Although district actions may restrict the range of options for services to private school students, private school officials tend to indicate that Chapter 2 is supporting the kinds of services they believe their students need; from their perspective, services under the block grant are generally seen as equitable. Their preferences for the use of block grant funds reflect primarily:

- The small amount of money available for services to students in a given private school.
- Critical needs for equipment and materials.
- Private school officials' expectations for services, established under antecedent programs.

(13) By comparison with antecedent programs, the equitability of services is either the same or somewhat improved (from the private school perspective), depending on which antecedent program one uses as a baseline.

## Funds Allocated to Serve Private School Students

Districts allocate a portion of their annual Chapter 2 grant to serve students in participating private schools. Table XV-1 presents the average amount of Chapter 2 funds used to serve students in each participating private school: nationally (for districts with enrollment of at least 600), the median allocation is $1,272. This amount is higher in larger districts, perhaps reflecting the larger size of private schools or the greater concentration of "high-cost" children in these districts (which means that these districts may be allocated a proportionately greater share of Chapter 2 funds, depending on the state formula).

The total amount allocated to services for private school students tends to be a small percentage of the Chapter 2 funds that districts receive each year--14%, on average, across all districts. There is relatively little variation in this average across district size categories; however, when one considers individual districts, the figure ranges from less than 1% to more than 50% of the annual Chapter 2 allocation.

## Comparison of Expenditures for Private and Public School Students

Overall, as shown in Table XV-2, 94% of districts report that the current per pupil expenditures under Chapter 2 for services to public and participating private school students are equal; 4% indicate that the per pupil amount for public school students is higher, while only 1% report a higher amount for private school students.* These data suggest that the vast majority of districts are spending an equal amount of block grant funds per pupil, as required by the block grant legislation, interpreted by federal regulations and guidance.

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*The percentages do not add up to 100% because of rounding errors. These self-reported estimates may be low--see discussion of unequal expenditures below.

Table XV-1

## AVERAGE AMOUNT OF CHAPTER 2 FUNDS (AND PROPORTION OF DISTRICT'S CHAPTER 2 ALLOCATION) AVAILABLE FOR SERVICES TO PRIVATE SCHOOL STUDENTS IN THE 1984-85 SCHOOL YEAR, BY SIZE OF DISTRICT

| District Size (Enrollment) | Median amount available from district's allocation* | Mean percentage of district's Chapter 2 allocation* | Median amount of Chapter 2 funds available per private school* |
|---|---|---|---|
| Very large (25,000 or more) | $28,908 | 9 | $2,224 |
| Urban | 42,851 | 11 | 2,289 |
| Suburban | 18,312 | 7 | 2,041 |
| Large (10,000 to 24,999) | 7,500 | 8 | 1,948 |
| Medium (2,500 to 9,999) | 2,801 | 11 | 1,442 |
| Small (600 to 2,499) | 1,423 | 19 | 879 |
| All districts (600 or more) | 2,576 | 14 | 1,272 |

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*Among districts having one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

## Table XV-2

## COMPARISON OF PER PUPIL EXPENDITURES FOR SERVICES TO PUBLIC AND PRIVATE SCHOOL STUDENTS UNDER CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts* in which the per pupil expenditures for services to public and private school students in the 1984-85 school year are... | | |
|---|---|---|---|
| | Equal | Greater for public school students | Greater for private school students |
| Very large (25,000 or more) | 88 | 8 | 4 |
| Urban | 87 | 11 | 2 |
| Suburban | 89 | 6 | 6 |
| Large (10,000 to 24,999) | 92 | 4 | 4 |
| Medium (2,500 to 9,999) | 92 | 6 | 2 |
| Small (600 to 2,499) | 99 | 1 | 0 |
| All districts (600 or more) | 94 | 4 | 1 |

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*In districts having one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

From these data, it is difficult to interpret the magnitude of the inequalities that were reported; some per pupil differences may be large, while others may be trivial.

The above data represent mainly the Chapter 2 formula allocation to districts. From our data, it is not possible to ascertain whether private school students nationally are served with an equitable share of the states' Chapter 2 set-aside money. However, as pointed out in Section II, state set-aside money is only a small fraction of total Chapter 2 funds at the local level.

Our analysis identified four interpretations of allocation requirements or processes that could result in unequal dollar amounts per pupil:

- Basing allocations on differing needs of public and private school students. Although apparently permitted by law (and by many states' interpretations of the law), adjusting allocations by the particular needs of private school students appears to be done seldom.
- Allocating funds according to the proportion of high-cost students in the public and private school populations. Federal regulations and nonregulatory guidance prohibit this practice, but confusion persists in the minds of some local administrators; some believe that high cost factors (e.g., the number of disadvantaged students) ought to determine now the funds are used.
- Unequal sharing of the funds that would have been used to serve nonparticipating private schools. This practice appears more widespread than the previous self-reported data suggest: 20% of districts with participating private schools indicate that they reassign these funds for public school use only, while 2% allocate these dollars to serve students from the participating private schools (see Cooperstein, 1986).
- Differential reimbursement for the costs of administering public and private school components. Depending on whether costs for administering the two components are covered differently (e.g., administrative costs for the public school share are fully covered in Chapter 2 but only partially for private schools), small inequalities in per pupil allocations can result.

The state education agency appears to have a critical role in equalizing per pupil expenditures for public and private school students under Chapter 2. Where states take an active role in overseeing and specifying how private school students should be served, equal per pupil expenditures seem to be more likely.

## Redistributive Consequences of the Block Grant

Chapter 2's provisions for equal per pupil expenditures for public and private school students have raised concerns in some public school districts, mainly because of the redistributive nature of Chapter 2. With the change to the block grant, funds often were diverted from large urban districts participating in ESAA; among the "winners" of services from this money were students in private schools.*

Although our data do not enable us to estimate precisely the magnitude of this increase, we can approximate the minimum amount of increase by comparing the total funding that would likely have been allocated to services for private school students under ESEA Title IV-B, which provided the bulk of antecedent program funding for services to private school students, with the amount allocated to private school services, as shown in Table XV-3.

The table makes it clear that, at a minimum, funds available for private school services nearly tripled under the block grant, by comparison with what antecedent programs were likely to provide.

The fact that students in private schools gained under the block grant was evident in many of the sites we visited. We heard comments from public school respondents such as, "Chapter 2 was a big windfall for the [private school students]," who "made out like bandits." We saw many examples where expenditures for services to private school students had increased many times over expenditures under the antecedent programs (primarily Title IV-B). For example, in one city we visited, the expenditures for services to

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*The redistributional effects of Chapter 2 vary by state; these effects can be mitigated to some extent by state allocation formulas.

## TABLE XV-3

## AGGREGATE INCREASE IN FUNDS AVAILABLE FOR SERVICES TO PRIVATE SCHOOL STUDENTS UNDER THE BLOCK GRANT

| Program Funding Source | Total amount of funds allocated by districts for private school students |
|---|---|
| Under Chapter 2 in 1984-85 | $24,710,055* |
| Under ESEA Title IV-B in 1981-82 | 8,762,296 (est.)** |
| Approximate minimum** increase under the block grant in funds allocated to services for private school students | +15,947,759 (est)** |
| Minimum percentage increase in funds available for these services | +282% |

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[*] This figure is somewhat higher than the estimate presented in Section II; responses to the questionnaire item on which this was based probably included some carryover from the preceding year.

[**] Because we were unable to get reliable figures for the amount of antecedent program funds allocated to serve private school students, our estimate rests on the following assumptions: (1) ESEA Title IV-B funds provided the bulk of antecedent program funding for these students; (2) because most districts allocated the same proportion or more to private school students under Chapter 2, the current proportion will tend to equal or overestimate the amount received by private school students before the block grant; (3) multiplying the Title IV-B total by the current proportion of funds made available to private schools thus yields a likely maximum value for what went to private school students before the block grant.

private school students increased from $2,387 to $12,075, for approximately the same number of students. Increases at the level of individual private schools ranged greatly. Some private school principals were well aware of the increase; the principal of a private school with a threefold increase for services said that, when the block grant started, "we walked around smiling." However, school-level personnel were not always aware of an increase, because the absolute amount (both before the block grant and under Chapter 2) was often so small.

In certain types of districts, a larger percentage of the district's allocation is available for services to private school students than under the antecedent programs. Although overall, the majority (71%) of districts report no change, as shown in Table XV-4, there is a substantial number (particularly the very large urban districts) for which the proportion expended for services to students in private schools has increased. This increase is due mainly to the fact that many of these larger districts participated in large antecedent programs, such as ESAA, which had little private school student participation; with the block grant, these districts lost a considerable amount of money and had to make more of their decreased allocations available for services to private school students. In fact, our data show that 53% of the districts that had participated in ESAA use a larger proportion of Chapter 2 funds than antecedent program funding to provide services to students in private schools; only 24% of those districts that had not participated in ESAA do so.

In some districts we visited that had lost ESAA funding, public school personnel expressed some concern about equal per pupil expenditures for public and private school students. However, not all districts we visited that had participated in ESAA expressed this concern. District personnel were less upset when the desegregation programs funded by ESAA had been completed, or were nearing completion, before the block grant, or when the district could absorb the ESAA programs with local money.

Table XV-4

## CHANGE IN PROPORTION OF FUNDS AVAILABLE TO SERVE STUDENTS IN PRIVATE SCHOOLS, FROM ANTECEDENT PROGRAMS TO CHAPTER 2 (1984-85 SCHOOL YEAR), BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts* in which the proportion of funds available to serve students in private schools: | | |
|---|---|---|---|
| | Increased | Stayed the same | Decreased |
| Very large (25,000 or more) | 57 | 43 | 0 |
| Urban | 70 | 30 | 0 |
| Suburban | 42 | 58 | 0 |
| Large (10,000 to 24,999) | 33 | 64 | 2 |
| Medium (2,500 to 9,999) | 25 | 70 | 5 |
| Small (600 to 2,499) | 23 | 75 | 2 |
| All districts (600 or more) | 26 | 71 | 3 |

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*Among districts with one or more eligible private schools, and in which the private school student component is administered at the district level.

## Services for Private School Students

To study the services provided to private school students, we divided the educational activities supported by the block grant into the same six categories used to describe public school education services (see Sections III, V-VII): computer applications, library and media center support, curriculum development, staff development, instructional services, and student support services. Under Chapter 2, as under Title IV-B, private school students are being served mainly with materials and equipment,* either for computer applications or for library and media center support. In fact, we often heard from private school principals that the change to Chapter 2 was just a "name change" from Title IV-B.

Nationally, private school students in a large majority of districts (92%) receive the benefit of library and media center support through Chapter 2; approximately two-thirds of all districts purchase computer hardware and software for use by private school students with Chapter 2 (see Table XV-5**). We saw many examples of these types of services in our site visits, such as computer hardware and software for use in computer labs or classrooms, audiovisual equipment, filmstrips, reference materials (e.g., books, encyclopedias) for libraries or classrooms, maps, globes, etc.

Other types of services to private school students occur much less frequently under the block grant. In approximately a fifth of all districts serving private school students, curriculum or new-program development supported by Chapter 2 benefits some or all of these students. Even fewer districts provide private school students with direct services aimed at

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*This study did not collect national data on the percentage of Chapter 2 funds used to provide various services to private school students.

**The figures in Table XV-5 represent services aggregated at the district level; however, from our site visits we learned that, typically, students in a given private school have access to only one or two services under Chapter 2.

Table XV-5

## CHAPTER 2 SERVICES TO PRIVATE SCHOOL STUDENTS, BY SIZE OF DISTRICT

| | Percentage of districts* in which each activity has been supported by Chapter 2 funds in the last 3 years for private school students: | | | | | |
|---|---|---|---|---|---|---|
| District Size (Enrollment) | Computer applications | Library/ media center support | Curriculum or new-program development | Staff development | Instructional services | Student support services |
| Very large (25,000 or more) | 84 | 100 | 22 | 30 | 16 | 6 |
| Urban | 85 | 100 | 23 | 39 | 15 | 5 |
| Suburban | 80 | 100 | 17 | 11 | 20 | 9 |
| Large (10,000 to 24,999) | 83 | 95 | 21 | 16 | 12 | 10 |
| Medium (2,500 to 9,999) | 64 | 91 | 20 | 14 | 9 | 7 |
| Small (600 to 2,499) | 66 | 91 | 24 | 6 | 6 | 4 |
| All districts (600 or more) | 68 | 92 | 22 | 11 | 9 | 6 |

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*Among districts with one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

student support (e.g., counseling, testing) or instruction (e.g., compensatory, bilingual). In our site visits, we encountered a few examples of these direct services, such as an aide paid out of one district's Chapter 2 funds to work with private school Chapter 1 and gifted students, and a music teacher in another district. Finally, in only a small percentage (11%) of districts are private school personnel participating in staff development funded by Chapter 2,* either for private school staff alone or as joint training activities with public school personnel.

There seems to have been very little change in the services provided under Chapter 2 to private school students over the 3 years of the block grant. In the sites we visited, the most common change was a new kind of material or different piece of equipment provided. Typically, private school students were provided services in one area until needs in other areas became more prominent. For example, in one large suburban district, computers were purchased with block grant funds for private school students to use in the early years of Chapter 2; by the third year of the block grant, private school officials told the district to redirect some of the Chapter 2 support toward the library because it had been ignored with the push to computers.

Most of the services for private school students or staff under Chapter 2 are provided on the site of the private school.** We saw many examples where materials and equipment were marked by the district and then delivered to the private school to be used there. In the sites we visited, we also saw that the public school staff supported by Chapter 2 served private school students in the private schools. However, private schools had to make accommodations, if necessary, such as removing religious symbols from rooms in which these individuals worked.

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*This percentage may be underestimated in our data, because respondents may not have included staff development funded by the portion of the LEA's Chapter 2 funds available to provide services to public school students (to which private school personnel are often invited), as well as staff development funded by the SEA's share of Chapter 2.

**At the time of data collection for this study, a court case concerning the provision of Chapter 1 instructional services on the premises of religious schools (Aguilar et al. v. Felton et al., U.S. Supreme Court, decided July 1, 1985) was still in process. In its decision, the court found it to be excessive entanglement of church and state when these services were provided on the premises of private schools. This case has potential ramifications for Chapter 2 services for private school students.

The services provided to private school students under Chapter 2 tend to be used to benefit most (if not all) of the students in the school, or else all the students in specific grades, rather than being targeted to the special needs of a few. In part, the lack of targeting is due to the nature of the services under Chapter 2 (mainly materials and equipment). In addition, many private schools tend to be small and have few students with special needs, unless they serve only special populations, such as schools for the handicapped. Private school personnel are not likely to request that Chapter 2 funding (particularly if it is a small amount) be used to serve a small fraction of their student body, especially if the school is poor and has limited sources of money. Finally, we heard some private school principals state that it is their philosophy to spread Chapter 2 services to all students.

## Comparability of Services for Private and Public School Students

According to federal regulations, private school students must receive services under Chapter 2 "on an equitable basis." As it is put into practice, this requirement usually means that services for private school students are thought to be appropriate to their needs.

Our data indicate that there are often differences in the types of services supported by Chapter 2 for private school students and public school students in the same districts, as shown in Table XV-6. Under Chapter 2, private school students typically have access to computer hardware and software, as well as other instructional materials and equipment, and in this respect do not differ greatly from their counterparts in public schools. In the same districts, Chapter 2 more frequently provides public school students with the benefit of curriculum or new-program development, student support services, instructional programs, and, indirectly, staff development.

## Equitability of Services for Private School Students

The fact that services for the two types of students are not always the same raises the possibility that they are not "equitable" (in the sense that private school students are denied access to services or opportunities for particular kinds of services). We pursued this question by trying to discover whether decisions about what to provide private school students are unnecessarily constrained by groups external to the private schools and why private school officials opt for the services that they do. Our anlayses, described in another report from the National Study (Cooperstein, 1986), indicate the following: while there is evidence that some districts (and even private school organizations) limit their range of choices, private school officials generally feel that their students receive under Chapter 2 the services these officials think are best for them. The most important factor governing the preferences of private school staff are:

- The small amount of Chapter 2 funding available for each school's students.
- The need for materials and equipment which many private school officials describe as "critical".
- Established patterns of federal aid under ESEA Title IV-B, which have come to be expected by the private schools.

Our data suggest that, regardless of anything public school districts do to encourage these expenditures, most private school officials would request that Chapter 2 funds be used in the same way as at present.

## Changes in Equitability with the Block Grant

Depending on what antecedent program one uses as a baseline, the equitability of services has either not changed much or has improved with

Table XV-6

## COMPARISON OF SERVICES TO PUBLIC AND PRIVATE SCHOOL STUDENTS

| | Percentage of districts* in which this activity is supported by Chapter 2 funds for: | |
|---|---|---|
| Type of Activity | Public school students | Private school students |
| Computer applications | 88 | 68 |
| Library and media center support | 80 | 92 |
| Curriculum or new-program development | 37 | 22 |
| Student support services | 24 | 9 |
| Instructional services | 24 | 6 |
| Staff development | 39 | 11 |

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[*] Percentage of districts with enrollment of at least 600, with participating private schools, and in which the private school component is handled at the district level.

the coming of the block grant. For students in the majority of private schools, which only participated in the Title IV-B program, there is probably not much change with the block grant in terms of the ability of the Chapter 2 program to meet their needs, even though decisions are sometimes more broadly based and, sometimes, non-library purchases result. On the other hand, private school personnel perceive that Chapter 2 meets the needs of the private schools much better than some other antecedent programs, such as Title IV-C, Teacher Corps, and Teacher Centers, in which private school students sometimes were asked to participate. According to one diocesan official, the attitude of the public schools often was, "Can you fit in?" to projects that did not necessarily meet any needs of the Catholic schools; by contrast, this respondent observed:

> "Chapter 2 was a little bit of heaven...finally, they are asking what are the needs of the private school students...if we can document the needs, we get [the services] to meet them."

# XVI ADMINISTRATION OF SERVICES FOR PRIVATE SCHOOL STUDENTS*

Chapter 2 services for private school students are administered by the corresponding public school districts (except in the three states in which a "bypass contractor" or intermediate unit has this responsibility). We examine in this section what districts do to notify and consult with eligible private schools, and monitor or evaluate the Chapter 2-supported services for the students in these schools. We also describe the role that state education agencies and private school organizations play in the administrative process. Finally, we discuss the nature and sources of the problems that have arisen in the course of administering these services.

## Summary

The analyses presented in this section can be summarized as follows. First, regarding the districts' administrative practices, we found that:

(1) The activities involved in administering the private school student component of Chapter 2 are fairly routinized and differ little from procedures set up under antecedent programs, especially ESEA Title IV-B.

(2) Typically, all private schools that are, or are thought to be, eligible are notified that Chapter 2 funds are available. Consultation generally consists of informing private school officials of the amount of funds available to serve students in each school and soliciting an application (or other equivalent request) indicating how the district should spend these funds.

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*This section is adapted from another report from the National Study (Cooperstein, 1986).

(3) Virtually all districts report that they monitor services for private school students to some degree, typically by checking private school applications or requests (and the resulting purchase orders) for conformity with guidelines. On-site monitoring is not common; the limited visits generally are informal. Districts tend to monitor the nature of these services, not their actual implementation.

(4) We found little evidence that districts (or private schools) are formally evaluating services for private school students, except when it is required as part of a state evaluation.

Second, regarding the role of state education agencies or private school organizations in the administratie process, we found that:

(5) The role of the SEA in guiding district administration of these services varies greatly, from states that provide detailed guidance to those that maintain a hands-off position.

(6) Private school organizations play a variety of roles in Chapter 2 at the local level; Catholic diocesan offices tend to be particularly active as liaisons between district and private schools and as supports to the private school principals.

Third, regarding the problems or difficulties involved in administering services for private school students, we found that:

(7) The administration of Chapter 2 services for private school students falls to the public school district and can be complex, depending on the numbers of private schools and the amount of funds to administer. The following tasks are most frequently mentioned as burdens or problems:

- Notification and consultation (in approximately a quarter of all districts with eligible private schools).
- Paperwork (in roughly the same percentage of districts, especially in very large urban districts).
- Monitoring (in 17% of all districts serving private school students).
- Unreimbursed administrative costs (in 12% of all districts serving private school students).

(8) Over half of all districts report no problems in the administration of services for private school students. This percentage is low (17%), however, in the largest urban districts.

(9) Not all districts facing complex administrative arrangements for serving private school students experience them as burdens. In addition, the following factors appear to lessen the burden: routinized arrangements established under antecedent programs or other state or federal programs, lack of other responsibilities for district staff, and helpful private school organizations (e.g., Catholic diocesan offices that help coordinate notification or applications).

(10) Under the block grant, the relationships between school districts and private schools are harmonious, or at least civil, especially where:

- State context encourages services to private school students.
- There is a strong religious base in the community.
- Public and private school systems are informally linked (e.g., where elementary private schools feed students into public secondary schools).
- District leadership, private school officials, and other relevant staff believe in cooperation between the public and private schools.

These conditions occur in districts of all sizes.

(11) Disharmony is especially likely where:

- There have been large perceived or real reductions in district funding with the shift to Chapter 2.
- Funds generated by the characteristics of public school students or activities (e.g., related to desegregation) are used for private school student services.
- Expenditures or services are perceived to be inequitable.
- District staff have turned over rapidly.
- The district's administrative task is excessively complex.
- District personnel philosophically oppose serving private school students with public funding.

## Administrative Practices

In most of the districts we visited, the activities involved in administering the private school component of Chapter 2--including notification of private schools, consultation with private school officials, recordkeeping, and monitoring--are fairly routinized procedures. In general, they differ very little (if at all) from procedures established under the antecedent programs, particularly ESEA Title IV-B. This is true mainly because private schools are continuing to view Chapter 2 as a materials and equipment acquisition program, and districts are following the administrative procedures established under Title IV-B.

### Notification and Consultation

Although local district practices vary regarding notification and consultation, it is possible to construct a composite scenario. Districts learn which private schools to notify in a variety of ways. In some states, the SEA sends each district a list of all private schools within the district's boundaries, whether or not they are eligible for Chapter 2. In other states, the SEA's list includes eligible schools only. States compile these lists in various ways, such as including all accredited schools, only nonprofit schools, or all those in compliance with Title VI of the Civil Rights Act. Finally, in other states, local districts must identify for themselves the private schools within their boundaries and determine which are eligible for Chapter 2. In these cases, district personnel have several sources for identifying schools: existing lists, schools that participate in other state or federal programs, and (particularly in smaller districts) their own knowledge of the community.

Typically, each year the Chapter 2 coordinator notifies each private school on the district's list about the availability of Chapter 2 money. Coordinators do this in various ways, including regular mail, certified or registered mail, telephone calls, and personal visits. In some sites, district personnel also sometimes notify schools not on the state-approved list, just to be on the safe side. If the private schools are not already determined to be eligible by the state, the district may sometimes ask for proof of nonprofit status or nondiscrimination. Overall, approximately one-quarter of districts with enrollment of at least 600 require private schools to sign assurances of nondiscrimination; 15% check the nonprofit status of private schools. If eligible schools indicate that they do not wish to participate in Chapter 2, some states require a waiver letter to be signed; others do not.

The Chapter 2 coordinator then often holds a meeting of the private school principals to discuss application procedures, specific allocations, and guidelines (86% of districts report that they provide some type of guidance). Private school organization representatives sometimes are involved at this point, e.g., diocesan representatives in districts near a diocesan office. However, these matters can also be handled by letter. Private school principals then fill out an application form or the equivalent. The district collects and reviews all of the private school applications (or other form of request), gets revisions if something is not acceptable, attaches them to the district's application, and sends the entire package to the SEA.

For the great majority of districts that use Chapter 2 funds to purchase materials and equipment for private school students, the private schools generally submit purchase requests to the district, once the application is approved by the SEA; the district then orders the materials/equipment as requested. The items often are delivered to the district and are marked with the program name, or as property of the district. The materials are then delivered to the private schools and remain there for students to use.

The process of notification and consultation typically consists of various paper transactions, particularly in larger cities where the procedure is, by necessity, more bureaucratic, because of the large number of private schools. In smaller districts, more personal contact seems to be involved. In some districts, there is continuous communication between the Chapter 2 coordinator and private school principals concerning allowable expenditures, purchase orders, etc.; in others, there is less contact.

## Monitoring Practices

All but a few districts claim they monitor services for private school students in some fashion; only 5% of districts enrolling 600 or more students report that they do not monitor Chapter 2-supported purchases or activities in private schools. In general, the larger districts report more monitoring than the smaller districts; this may be true for at least several reasons:

- Large districts often have federal programs personnel for whom monitoring is just part of the standard operating procedure for any activity supported with federal funds.
- The Chapter 2 coordinators in larger districts tend to have fewer other responsibilities than their counterparts in smaller districts.
- Larger districts tend to be monitored more often by the state concerning Chapter 2; this monitoring may make the districts more likely to monitor their local Chapter 2 programs, including the private school component.

District administrators use a variety of methods to monitor the private school component of Chapter 2. Private school applications generally are checked, before being sent to the state, for conformity to a variety of guidelines (to be discussed below); during this process, some districts also consult with the SEA. In addition, purchase orders are often checked, by either the Chapter 2 coordinator or another individual, such as a secretary or bookkeeper. Materials then are sometimes checked (and marked) when they arrive at the district.

We rarely saw formal on-site monitoring of private schools by district personnel. Not surprisingly, Chapter 2 coordinators in very large districts with hundreds of private schools often find it impossible to monitor on-site. Regardless of the number of schools in question, Chapter 2 coordinators may feel that their monitoring obligations are met without going on-site, and they trust the private schools. The on-site visits we heard about generally were informal. For example, one private school principal said that the Chapter 2 coordinator "comes over a few times a year and walks through." Another private school principal stated that the Chapter 2 coordinator "informally visits...not checks...just observes."

Because of the methods they use for monitoring, district personnel usually check on the nature of private school student services (e.g., whether they are nonreligious, of benefit to students and not schools, and supplemental). District personnel rarely check to see how these purchases are actually used; they feel that it is very difficult to monitor usage and sometimes feel that their obligations do not involve doing so. One Chapter 2 coordinator we interviewed captured the spirit of many when he explained, "If an infraction came to my attention, I would follow up on it...but I'm not going to be a police dog."

### Evaluation Practices

We found little evidence of districts or private schools formally evaluating the private school component of Chapter 2, except when it was required as part of a state evaluation. In this case, the evaluation often consists of a short form completed by each private school principal. In addition, private school officials sometimes informally evaluate the Chapter-2 supported purchases made for their students, doing so for their own purposes; but they tend not to regard this as a Chapter 2 evaluation.

### Role of the State Education Agencies and Private Schools Organizations

We saw wide variation in the amount of guidance state education agencies give to districts concerning the administration of Chapter 2. Some states give explicit instructions on every aspect of the process. In one state we visited, the SEA determined eligible private schools and counted their pupils, told the districts the allocation to be used to serve students in each private school, specified the application form that the private schools submit to the districts, detailed the notification and waiver process, was in frequent telephone contact with districts about matters such as allowable expenses, and monitored the private school component in great detail. Some states even notify the private schools directly about Chapter 2.

Other states give less detailed guidance, such as providing a copy of the federal law and regulations, and maintain a hands-off position. This approach can be the result of state law or part of the general philosophy of the SEA. Among districts in these states, there tends to be wider local variation in administrative practices under Chapter 2.

Organizations representing or coordinating private schools can play a variety of roles in the local administration of Chapter 2. In our site visits, Catholic dioceses were the most active in Chapter 2; other organizations (e.g., Lutheran Synods, organizations of independent schools) tended to be less so. Compared to other private schools, the Catholic schools have a strong, central organization; diocesan officers represent many schools and historically have been involved with federal and state programs. Dioceses tend to have more involvement in the administration of Chapter 2 in large cities or suburban districts, because these districts are usually located near the diocesan offices; elsewhere, the diocese tends to have less influence.

Our analyses, reported more fully elsewhere (see Cooperstein, 1986), suggest that diocesan personnel may perform the following functions:

- Serve as a general resource for private school principals.
- Provide an additional channel for notifying schools about Chapter 2 funding or requirements.
- Expedite the submission of Chapter 2 applications.
- Help arrange joint services to a number of private schools located in different districts.
- Monitor Chapter 2-supported activities in Catholic schools.

## Problems Associated with the Administration of Services for Private School Students

The administration of Chapter 2 can be complex and can create various problems, including a perception of burden, that derive from the fact that district personnel must administer services for students that receive their education (and receive Chapter 2-supported services) in other institutional settings.

Overall, approximately 40% of districts (of at least 600 students) considered administering the private school component to be "somewhat" or "very" burdensome (see Section X for a broader discussion of administrative burdens). Not surprisingly, larger districts considered the private school component to be more burdensome than smaller districts; this difference is due in part to the greater number of eligible and participating private schools in larger districts. In fact, in the very large urban districts (enrollments of 25,000 or more), private school involvement is considered to be by far the most burdensome aspect of administering Chapter 2.

## Sources of Perceived Burden

Many activities involved in administering Chapter 2-supported services for private school students can create this perception of burden. Table XVI-1 shows the percentages of districts reporting the most common types of problems they encounter under Chapter 2. As can be seen in the table, slightly over half of the districts with eligible private schools indicate that they have encountered no problems involving private schools and private school students in Chapter 2. In the remaining districts, the following tasks are often considered problems:

- Notifying and consulting with private schools about Chapter 2 (in 24% of the districts).
- Paperwork generated by private school involvement (in 22% of the districts), especially in very large urban districts.
- Monitoring private schools' use of Chapter 2 materials or services (in 17% of the districts).
- Unreimbursed administrative costs of providing materials or services to private school students (in 12% of the districts).

Table XVI-1

## PROBLEMS DISTRICTS ENCOUNTER ADMINISTERING SERVICES FOR PRIVATE SCHOOL STUDENTS, BY SIZE OF DISTRICT

| | Percentage of districts encountering problems with respect to... | | | | |
|---|---|---|---|---|---|
| District Size (Enrollment) | Notification/ consultation* | Paperwork | Monitoring | Unreimbursed administrative cost** | Percentage of districts encountering no problem with the private school student component* |
| **Very large** (25,000 or more) | 33 | 48 | 29 | 22 | 30 |
| Urban | 35 | 58 | 27 | 22 | 20 |
| Suburban | 32 | 38 | 31 | 24 | 43 |
| **Large** (20,000 to 24,999) | 39 | 38 | 30 | 25 | 36 |
| **Medium** (2,500 to 9,999) | 25 | 24 | 14 | 16 | 57 |
| **Small** (600 to 2,499) | 20 | 16 | 16 | 3 | 65 |
| **All districts** (600 or more) | 24 | 22 | 17 | 12 | 57 |

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[*] Among districts with eligible private schools, and in which the private school student component is administered at the district level.

[**] Among districts with one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

In our site visits, we found that administering the private school component may be a big job and take a lot of time, particularly in districts with a large number of private schools, as in the case of one very large city with 29 eligible and 25 participating private schools, where district personnel indicated that it takes "incredible clerical time" to notify all the schools, collect all the applications and waiver letters, give technical assistance (e.g., help with filling out the application form, advice about the appropriate computers to purchase), process the purchase orders, etc. But district personnel often express less concern about these administrative activities than one might expect. For example:

- The Chapter 2 coordinator in the district described above said that, even though a lot of time was involved in administering the private school component, she does not mind it, since "I see its purpose and I enjoy the people."

- In a very large urban district with 44 eligible and 40 participating private schools, the Chapter 2 coordinator said that the private school component "is just part of our job in the federal programs office."

Various factors seem to contribute to the generally low level of concern about administering private school services:

- In smaller and medium-sized districts, few private schools are involved. Typically, relationships with these schools were established long ago under antecedent programs. Public and private schools often are closely linked in such communities, for example, through feeder patterns or staff who have worked in both systems. Many of these communities also have a strong, organized religious base.

- In larger districts, Chapter 2 coordinators tend to have fewer other responsibilities. Dealing with the private schools often is a major part of their jobs and is accepted as that. Private school organizations, such as the Catholic dioceses, tend to be more active in such communities, often helping out with part of the administrative load.

Despite these general patterns, there is much variation in the degree of burden experienced by districts, because of the personalities of administrators, district leadership, and experience under particular antecedent programs, among others. The special situation of large districts that lost large amounts of money under the block grant, combined with growing private school participation, also contributes to real and pressing administrative burdens for some districts.

## The Quality of the Relationship Between Districts and the Private Schools

The administrative burdens just described, in conjunction with increased participation by private school students and the fact that a larger proportion of the districts' allocations might go to services for these students, could contribute to or create significant tensions and disharmony between districts and the private schools. Our analyses suggest that these tensions are not widespread but are present in certain kinds of circumstances (see Cooperstein, 1986).

Relations between the school districts and private schools were relatively harmonious, or at least civil, regarding Chapter 2 matters in most places we visited. A quote from a private school principal in a suburban district is typical of the comments we heard:

> "[The Chapter 2 coordinator] has helped us to understand how much we can do under Chapter 2. Our relationship with the district is very good. I can pick up the phone and ask for help or suggestions. We get a lot of help from the secretary, too. There's a feeling of professionalism. I think the district makes an effort because we are a private school. They make sure we get our fair share."

Five factors appear to contribute to this state of affairs:

- A tradition of active service to private schools in the state.
- A strong religious base in the community.
- Interpenetration of the public and private education systems.
- District leadership.
- Personalities of district Chapter 2 staff and private school officials.

In our visits, we identified six factors that undermined the relationship between the district and the private schools:

- Large perceived or real "losses" of money (from the antecedent programs) that must be used to provide services to private school students under the block grant.
- The fact that services are sometimes provided to private school students with funds that were not generated by these students.
- Inequitable expenditures or services for private school students.
- District turnover or incompetence.
- Excessive complexity in the district's administrative task.
- Philosophical opposition to serving private school students.

# PART FIVE

# LOCAL OPERATIONS IN INTERGOVERNMENTAL PERSPECTIVE

In this part of the report, we examine the intergovernmental dimensions of local operations under the education block grant. Separate sections present findings on:

- Local discretion (Section XVII).
- Interactions between districts and state education agencies (Section XVIII).
- Intergovernmental influences on local operations (Section XIX).

## Highlights of Findings in This Part

### Local Discretion Under the Block Grant

- Local flexibility. The combination of broadly authorized purposes and relatively little external constraint from federal and state levels means that districts feel that the block grant is an especially flexible source of funding. Chapter 2 funds support a wide range of activities, both within and across districts, that in aggregate approximates the full range of permissible uses under Chapter 2.
- Perceived change in flexibility since antecedent programs. Districts split on whether they view the block grant as more flexible than antecedent programs or approximately the same (few felt it was less flexible). Their perceptions are partially the result of which antecedent program(s) were the baseline: when compared with programs that had more complex requirements such as ESEA Title IV-C and ESAA, the block grant appears more flexible to a greater percentage of districts than when compared with ESEA Title IV-B, which Chapter 2 resembles.

- Response to increased flexibility. Not all districts have taken advantage of the increased flexibility, preferring instead to continue programs they had before the block grant. At the same time, a wider range of activities are being supported by the block grant across districts.

- Flexibility for whom? At the local level, the block grant's flexibility is experienced by some groups more than others: one or a few district-level administrators typically control decisions about the uses of the funds. Others, especially school staff, have a more significant role in decisions about the implementation of activities once these are selected.

## Interactions Between Districts and States

- Local and state variation. The nature and extent of interactions between districts and states vary greatly by size of district and across SEAs. Larger districts tend to contact their SEAs more frequently than smaller districts, except on matters related to compliance. SEAs vary greatly in the amount of contact they have with districts and the kinds of issues they emphasize.

- Applications and paperwork. Most interactions between SEAs and districts concern applications, allowable uses of funds (which is typically an issue during the application process), and reporting forms.

- Monitoring. A little over a third of all districts have been monitored by their SEAs; states vary greatly on this activity--some have monitored nearly all of their districts, others none. Monitoring generally is perceived as a smooth, nonthreatening process.

- Auditing. Only a small percentage (14%) of all districts have had their projects audited in response to a federal or state request (other than routine fiscal audits usually required of school districts). The level of anxiety about audits under Chapter 2 is extremely low, perhaps because of extensive consultation with the SEA about allowable uses and also prior local experience with federal programs.

## Intergovernmental Influences on Local Operations

- State influences on local program choices. SEAs seem to be making a conscious effort not to influence local program choices, in keeping with federal legislation and guidelines.

- Federal influences on local operations. Federal actions typically influence local operations indirectly, e.g., through procedural clarifications aimed at SEAs. Federal monitoring of SEAs apparently has changed the way some states oversee local operations, and may be contributing to a shift in emphasis of state administration toward ensuring legal compliance.

- Local perceptions of restrictions or limitations under the block grant. Local personnel perceive few restrictions or limitations on their choices of educational activities to support with Chapter 2 but acknowledge other, more procedural limitations (e.g., prohibiting use of funds for activities that may be viewed as supplanting). Other intergovernmental factors appear to exert a stronger influence on local operations, among them the lists of antecedent-program purposes that most states list on their application forms and court or agency desegregation orders. More indirectly, antecedent-program traditions at the local level effectively limit options somewhat.

- Effect of federal or state reforms on the use of block grant funds. Relatively few local personnel see the block grant as a vehicle for implementing state or federal reform recommendations or the improvement initiatives enacted by state legislatures. However, Chapter 2 funds are used in a large proportion of districts to address certain widely held reform or improvement priorities, in particular, improvement in computer, mathematics and science education; improvement of minimum competency test scores; and development of programs based on effective schools research.

- Local recommendations for improving the intergovernmental administration of the block grant. Approximately two-fifths of all districts think nothing needs to be done to improve the implementation of Chapter 2. Among other districts, reduction in federal regulations or guidance is the most frequently noted improvement, especially among smaller districts, although the meaning of "less guidance" is not clear. The largest districts are likely to emphasize change in the state formula, change in the use of state set-aside money, or clarification of audit procedures.

# XVII LOCAL DISCRETION*

In this section we consider evidence relating to the achievement of a major intergovernmental goal for the block grant: the enhancement of local discretion over federal funds. We first present findings regarding the degree of flexibility local recipients feel they have under Chapter 2 to establish and implement the programs they wish. We then relate these perceptions to decisionmaking under antecedent programs. Finally, we examine whose discretion at the local level is and is not enhanced under the block grant.

## Summary

The analyses presented in this section support the following findings. First, regarding local flexibility under the block grant, we found that:

(1) The block grant mechanism constrains local discretion relatively little. Chapter 2 funds support a wide range of activities, both across and within districts, that in aggregate approximate the full range of permissible uses authorized by ECIA.

(2) State and federal requirements and guidance play little or no role in limiting what districts do with their Chapter 2 funds. Of those districts that perceive such limitations, few wish less guidance from higher levels of government. Limitations generally are seen as having little to do with educational substance.

(3) Districts split on whether they viewed block grant funds as more or less flexible than local district funding--a third of the coordinators considered them more flexible, nearly as many said less.

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*A more extensive discussion of this topic appears in two other reports from the National Study (Knapp, 1986; Turnbull and Marks, 1986).

Second, regarding changes in flexibility since antecedent programs, we found that:

(4) Approximately half of the districts felt that block grant funding and requirements were more flexible than the programs that preceded it; most of the rest felt there had been little change. (A small proportion of districts, which lost large amounts of money from antecedent programs, indicated that their flexibility was greatly reduced, especially where desegregation mandates persisted.)

(5) The perceptions of change depend on what antecedent program is used as the reference point. Complex programs like ESEA Title IV-C and ESAA are considered less flexible than the block grant more often than Title IV-B, which Chapter 2 resembles.

(6) Although they perceive their flexibility to have increased, district decisionmakers often fail to take advantage of the wider latitude afforded by Chapter 2.

(7) Overall, however, the range of activities supported by the block grant (across all districts) is greater than what prevailed under antecedent programs.

Third, with regard to the relative roles of different groups in local decisionmaking about the block grant, we found that:

(8) Some groups experience flexibility under the block grant more than others. One or a few district-level administrators (e.g., the Chapter 2 coordinator, the superintendent, or an existing committee of some kind) typically control decisions about the uses of funds; school staff, school board members, and parents or other community members tend to have relatively little role in these decisions.

(9) At the level of implementation, participation and influence patterns are as varied as the activities Chapter 2 supports and the local arrangements for carrying out instructional programs. The block grant mechanism exerts little or no constraint on these processes, nor does it stimulate broad-based participation in implementation.

## Local Flexibility Under the Block Grant

The general thrust of our evidence is that the block grant mechanism constrains local discretion relatively little. Across districts, block grant funds support a great variety of activities approximating the full range of permissible uses listed in the law (and displayed in Section I of this report), although certain types of activity, such as the introduction of computers into the instructional program, are common to many districts. Within each district, Chapter 2 funds often contribute to very different kinds of activities (except within the smallest districts, where the small amount of block grant funds makes support for more than one activity unrealistic). The list of Chapter 2-supported activities in the following three districts (during the 1984-85 year) illustrates the diversity of use that is commonly found under the block grant:

| | |
|---|---|
| District in a small Midwestern city: (total Chapter 2 allocation: $82,557) | . Computer lab<br>. Library/media center support<br>. Software, staff development, and planning for computer program<br>. Teacher goal-setting workshop<br>. Participation in a 5-district drug prevention consortium<br>. Curriculum development in critical-thinking skills<br>. Study skills testing |
| Medium-sized district in Appalachia: (total Chapter 2 allocation: $29,610) | . Library/media center support<br>. Staff development workshop for administrators<br>. Community education program<br>. Participation in a consortium of nearby districts supplying various services |
| Small rural district in the Northeast: (total Chapter 2 allocation: $10,401 + some carryover funding) | . Materials and group leaders for extracurricular clubs<br>. Books, materials for an Early Education Resource Center<br>. Computer hardware/software<br>. Curriculum development project on the experiential aspects of learning<br>. Musical equipment |

The range of activities supported by Chapter 2, both within and across districts, is testimony to the flexibility of this funding source.

In deciding how to use their funds, the majority of coordinators in districts of all sizes report that local priorities were an important determining factor and that one of the block grant's accomplishments is to provide funds for local priorities. Table XVII-1 summarizes these results (because the pattern is so consistent across size categories, we do not disaggregate the table).

Table XVII-1

USE OF CHAPTER 2 FUNDS FOR LOCAL PRIORITIES

| Chapter 2 coordinator indicates that ... | Percentage of all districts nationwide | Rank order of this response |
|---|---|---|
| ...Local priorities are an important factor in decisions about the use of funds | 82 | 1* |
| ...One accomplishment of the block grant is to provide funds for local priorities | 69 | 3** |

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*The most frequently noted response out of 10 possibilities.

**The third most frequently noted response out of 12 possibilities.

External constraints generated by state actions or federal requirements play relatively little role in decisions. Analyses reported elsewhere in the National Study (Turnbull and Marks, 1986) show that district officials do not seem to perceive big, substantive limitations on what they can do with block grant funds, although they recognize the restriction on noninstructional uses (one Chapter 2 coordinator, for example, had refused a school librarian's request for a lettering machine because it was intended for office work only). Between a quarter and a third of the survey respondents reported that state or federal actions limit what they do with Chapter 2 funds, as shown in Table XVII-2, but less than half that percentage indicate they would prefer less guidance from above.

Table XVII-2

PERCEIVED STATE AND FEDERAL CONSTRAINTS ON LOCAL CHAPTER 2 FUNDS

| Chapter 2 coordinators indicate... | Percentage of districts nationwide |
|---|---|
| a. State constraints | |
| ... Their uses of Chapter 2 funds are limited by state regulations or guidelines | 30 |
| ... and they desire less state intrusion* | 5 |
| b. Federal constraints | |
| ... Their uses of Chapter 2 funds are limited by federal regulations or guidelines | 25 |
| ... and they desire less federal guidance* | 11 |

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*Percentage of districts indicating both that their uses were limited by state or federal guidance and that they wished they had less guidance.

Respondents differed on whether they thought the block grant funds were more or less flexible than, or about the same as, regular district funds. As reported elsewhere (Turnbull and Marks, 1986), in approximately a third of all districts, Chapter 2 funds enable administrators to do what they would otherwise find difficult--e.g., trying out new instructional approaches (such as computers) in districts where local funds are used conservatively. Nearly as large a percentage of coordinators indicated that block grants are less flexible than local funds, reflecting concerns about possible supplanting violations and recognition that the funds are restricted to particular educational uses (however, as pointed out in the above-referenced report, this lack of flexibility does not constrain local decisionmaking much).

The fact that most local priorities can be accommodated within the authorized purposes of Chapter 2 and the lack of external constraints are the chief sources of the block grant's flexibility. During site visits, our respondents were quick to point this fact out to us and to indicate how much they appreciated the flexibility. The superintendent in a large Southern district that gained funds observed, in the same spirit as many officials we interviewed:

> "I wish all federal programs had the flexibility Chapter 2 has. I feel that I know better than anyone else what our needs are. Yet most federal programs require everyone to do the same thing, no matter what their needs."

And in a rural Appalachian site that had lost funds relative to antecedent programs:

> "We've been hurt financially by Chapter 2, but if it had to happen, I've been personally glad--mind you I'm speaking as a conservative--that we have the flexibility to pick and choose the programs."

This sentiment is not universal, however; respondents in some districts that lost large amounts of funds indicated that they would rather have the funds back, even if it meant a loss of flexibility.

### Change in Flexibility from Antecedent Programs

Many district coordinators (in approximately half of the districts responding to the mail survey) perceive Chapter 2 as more flexible than antecedent programs. In most other districts, respondents see no change. A small percentage of district coordinators (fewer than 10% in almost all size categories) feel their flexibility has been reduced.

Because these judgments depend on the antecedent programs a district had before Chapter 2, we present in Table XVII-3 the patterns categorized by several of the larger antecedent programs. Although the general pattern is similar, programs with more complex programmatic requirements, such as ESAA or ESEA Title IV-C, tend to seem less flexible by comparison with Chapter 2 than programs such as Title IV-B that more nearly resembled the block grant.

Table XVII-3

FLEXIBILITY UNDER CHAPTER 2 VERSUS SELECTED ANTECEDENT PROGRAMS

| | Compared with selected antecedent programs, in the following percentage of districts (that had each program) | | |
|---|---|---|---|
| Chapter 2 coordinators* consider Chapter 2... | Title IV-B | Title IV-C | ESAA |
| More flexible | 46 | 65 | 65 |
| About the same | 53 | 27 | 27 |
| Less flexible | 1 | 5 | 8 |
| | 100 | 100 | 100 |

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*Excluding coordinators who did not have responsibility for these programs.

Although they perceive their flexibility to have increased (or to have been wide to begin with), district officials have not always acted on their perceptions. It is not unusual to find that programs formerly supported by antecedent funds have continued in some form or other under Chapter 2.

Antecedent programs are an important influence on spending decisions (see Apling and Padilla, 1986); more often than not, an activity area supported under antecedent programs in the 1981-82 school year was still being funded with block grant funds 3 years later (see Turnbull and Marks, 1986). Nonetheless, compared with the situation under antecedent programs, the range of activities supported by block grant funds appears to have increased, on average, for all district size categories, as shown in Table XVII-4, below.

### Table XVII-4

### NUMBER OF ACTIVITY CATEGORIES SUPPORTED BY CHAPTER 2 AND ANTECEDENT PROGRAMS, BY SIZE OF DISTRICT

| | Average number of major activity categories* supported by... | |
|---|---|---|
| Size of District (Enrollment) | Antecedent program funds in 1981-82 | Chapter 2 funds in 1984-85 |
| Very large (25,000 or more) | 3.8 | 4.8 |
| Urban | 3.9 | 4.9 |
| Suburban | 3.8 | 4.7 |
| Large (10,000 to 24,999) | 2.5 | 4.0 |
| Medium (2,500 to 9,999) | 2.1 | 2.9 |
| Small (600 to 2,499) | 1.6 | 2.4 |
| Very small (under 600) | 1.3 | 1.9 |
| All districts | 1.9 | 2.3 |

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*Out of a total of seven possible categories.

Several examples illustrate the pattern:

- The Chapter 2 coordinator in a medium-sized district that had opted to stay with its antecedent programs observed, "Although we stayed with the programs we had before, we feel that we have more flexibility. For example, we are considering putting some money into this computer idea. We couldn't have done that before."
- A large Western district that formerly had Title IV-B, IV-C, Career Education, and Community Schools funding aimed its Chapter 2 grant at similar purposes plus a diverse array of small projects (teacher minigrants, computer applications, a drug abuse program, etc.) following the new superintendent's philosophy that the block grant was a means to experiment.
- In a district in a small Midwestern city, Chapter 2 funds made it easier to justify a major venture into computer education, in addition to library support (the only form of antecedent funding was under ESEA Title IV-B), a curriculum development project, and participation in a drug abuse consortium.

Many factors have contributed to this pattern of change. The combination of increased funds (for most districts), the broader range of authorized purposes, and the lessening of external constraints (such as the former state monitoring of Title IV-C projects) have contributed widely to the perception of greater flexibility and to actual departures from earlier programs.

Where respondents see no difference in flexibility between the block grant and antecedent programs, the explanations parallel those described in Section X regarding change in administrative burdens: under the block grant, these administrators feel able to do what they have always done. In the case of those districts reporting less flexibility under the block grant, a sharp reduction in funding was often the principal explanation, in combination with binding commitments, such as the implementation of a court-ordered desegregation plan. For example:

- A large urban district in the Midwest experiencing large losses in former ESAA funds described its flexibility as "zero." Although aware that they are permitted to do more things with the money than ESAA allowed, district officials feel they are bound to maintain previous commitments at minimal levels.

## Flexibility for Whom?

The block grant was designed not only to enhance local discretion vis-a-vis state or federal influence but also to promote a broad-based consultation process among those closest to the education of children: principals, teachers, and parents. The global perceptions of flexibility just described mask important differences in degree of involvement and influence among local participants and blur distinctions among the types of decisions they might influence. The analyses of local decisionmaking under the block grant presented earlier (see Section XI) and in another report (Knapp, 1986) suggest the following patterns:

- Chapter 2 tends to enhance the flexibility of a few decisionmakers at the district level, at least with respect to choices about the use of funds. Others--school staff, community members, school board members--tend not to be involved in these decisions, although one or two school staff may sit on the relevant district committees.
- The core decisionmaking group often takes steps to limit the numbers of others participating in these decisions, to keep the process focused on a few options the group feels are most important.
- Once Chapter 2 funds have been allocated to specific uses, decisions about the implementation of these activities tend to be made by school staff with input from various others, depending on the nature of the activity.

These findings suggest that the broad-based consultation and participation implied by federal legislation is not fully realized under the block grant. Although Chapter 2 is indisputably a flexible funding source, many individuals involved in the activities these funds support do not experience that flexibility.

# XVIII INTERACTIONS BETWEEN DISTRICTS AND STATE EDUCATION AGENCIES*

A key issue for states has been to balance the need for accountability for public funds with the strong emphasis on local discretion in Chapter 2. State education agencies (SEAs) have worked out their operational solutions to this issue in developing procedures for application review, monitoring, auditing, and evaluation. We discuss in this section our survey and field data on local experiences with these procedures, with the exception of evaluation, which was discussed in Section XIII.

Another challenge for states has been to provide technical assistance. They must choose an appropriate mix between assistance with program mechanics (such as filling out application forms correctly) and assistance with educational programs. We discuss technical assistance throughout this section. We do not devote a separate subsection to the topic because we found that states provide assistance in the course of carrying out their other responsibilities, such as answering local questions about applications and conducting monitoring visits.

## Summary

The analyses presented in this section can be summarized as follows. First, regarding local and state variation in interactions between districts and SEAs, we found that:

(1) The larger the district the more likely the SEA is to initiate contacts of all kinds in the course of administering Chapter 2.

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*This section is adapted from another report from the National Study (Turnbull and Marks, 1986).

(2) Larger districts tend to report that they have asked SEAs more types of questions than smaller districts. However, the smallest districts do contact SEAs as frequently as other districts on matters related to compliance: e.g., regarding applications forms, allowable uses, and monitoring.

(3) SEAs vary greatly in the degree to which they interact with districts on Chapter 2-related matters and the emphasis they place on particular types of interactions.

Second, regarding application forms and other types of paperwork, we found that:

(4) Most interactions between SEAs and school districts concern the applications, allowable uses of funds 9which districts typically ask about as they are preparing application), and reporting forms for Chapter 2; approximately two-thirds of all districts indicated querying their SEAs on these matters. Applications are also a major focus of statewide meetings, which are the most frequent form of state-initiated contact.

Third, regarding monitoring and auditing, we found that:

(5) As of the middle of the third year of block grant implemenation, a little over a third of all districts have received a monitoring visit from SEA staff. This overall average masks wide variation among states on this matter: some have monitored nearly all districts in the state, others practically none.

(6) By and large, monitoring of Chapter 2 is characterized locally as a fairly smooth, nonthreatening process which local personnel view as a routine, expected part of program administration. Monitoring tends to focus straightforwardly on compliance with federal requirements, although some SEAs place emphasis on program improvement beyond compliance with federal requirements.

(7) Only an estimated 14% of all districts had had their uses of Chapter 2 funds audited in response to a federal or state request (other than the routine fiscal audit usually required of school districts).

(8) The level of anxiety about audits is unexpectedly low, possibly due to interaction with the SEA over allowable uses of funds (which conveys to local coordinators a sense of protection), to the experience with federal programs that most local coordinators have, and to the general absence so far of publicized local-level audit exceptions. New federal requirements for "single agency audits" (following OMB Circular A-102P), if anything, have caused some anxiety.

## Local and State Variation in Interactions

Although one of our aims has been to generalize about the nationwide operations of Chapter 2, our survey and fieldwork data also permit us to point out how the interactions between the local and state levels vary among districts and states. We begin this section with a discussion of those sources of variation.

There is great variation in the extent and nature of the interactions between districts and their state education agency, both among districts and across states. Our analyses, presented in another report (Turnbull and Marks, 1966), of the variation among districts can be summarized as follows:

- State-initiated contacts. In general, the larger the district, the more likely the SEA is to contact it in the course of administering Chapter 2. This finding applies to all sorts of SEA contacts: explanatory meetings (which are the most common type of contact initiated by SEAs), questions about the local application, monitoring or auditing visits, and technical assistance.
- District-initiated contacts. A parallel pattern can be seen in the interactions that districts initiate: the larger districts tend to report that they have asked the SEAs more types of questions. The largest suburban districts have been especially active, in particular asking their SEAs questions about topics related to the application form, allowable uses of funds, and the evaluation of programs for public school students. The very small districts have contacted their SEAs somewhat less, although they show little difference from other districts in contacts related to forms, allowable uses, or monitoring.

We investigated whether districts that had different antecedent programs vary in their patterns of interaction with their SEAs, but we found no very noteworthy differences. The districts that participated only in ESEA, Title IV-B, tend to interact somewhat less with their SEAs, but that would be expected from the fact that they have less funding and, generally speaking, less to ask questions about.

Perhaps the most striking differences in local-state interactions appear when we look at state-by-state variations.* As Table XVIII-1 shows, states have taken highly individual approaches to administering Chapter 2. Compared with the nationwide averages shown at the bottom of the table, each of the seven states highlighted here shows a distinctive profile, based on the survey responses from districts in that state.

The seven states include one that has been very active in all respects (except for challenging its district's use of funds), states that have emphasized certain types of interaction over others (e.g., holding meetings and visiting districts versus asking questions about applications and providing technical assistance on programmatic matters), and one state that has been relatively inactive across the board. The wide range demonstrated here points up a fact that nationwide averages and summary statistics obscure: districts experience the block grant differently depending on their state context.

## Applications and Paperwork

Most interactions between SEAs and school districts concern the application and reporting forms for Chapter 2. An estimated two-thirds of districts nationwide have asked their SEAs questions about the application or other reporting forms; nearly the same number (64%) have asked questions about allowable uses of funds, as shown in Table XVIII-2). From our fieldwork, we learned that most questions about allowable uses arise as district staff are preparing their applications. A typical example is one small district we visited in which the coordinator asked SEA staff many

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*This analysis excludes Hawaii and the District of Columbia, which are unique in that each is simultaneously one SEA and one LEA, and six other states from which too few responses were received to permit reliable estimates of state-local interactions.

### Table XVIII-1

### INTERACTIONS SEAs INITIATE WITH DISTRICTS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts reporting that the SEA... | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Held meeting(s) to explain the program | Asked questions about the local application | Questioned proposed uses of funds | Conducted a monitoring visit | Conducted an auditing visit | Requeste data for evaluation | Provided technical assistance on program mechanics | Provided technical assistance on educational services |
| Very large (25,000 or more) | 83 | 45 | 27 | 58 | 34 | 56 | 64 | 51 |
| Urban | 82 | 43 | 26 | 61 | 28 | 56 | 63 | 54 |
| Suburban | 85 | 48 | 30 | 53 | 42 | 56 | 67 | 47 |
| Large (10,000 to 24,999) | 82 | 39 | 14 | 47 | 33 | 62 | 67 | 39 |
| Medium (2,500 to 9,999) | 76 | 39 | 23 | 43 | 33 | 50 | 59 | 42 |
| Small (600 to 2,499) | 69 | 31 | 16 | 41 | 33 | 45 | 47 | 28 |
| Very small (under 600) | 48 | 28 | 20 | 29 | 23 | 23 | 33 | 16 |
| All districts | 63 | 32 | 19 | 37 | 29 | 39 | 45 | 27 |

## Table XVIII-2

## INTERACTIONS BETWEEN SEAS AND DISTRICTS

| Interaction | Percentage of all districts reporting yes |
|---|---|
| Initiated by district: | |
| Questions about forms | 66% |
| Questions about allowable uses | 64 |
| Questions about amount of Chapter 2 allocation | 28 |
| Evaluation questions | 26 |
| Monitoring questions | 22 |
| Questions about public school services | 16 |
| Questions about services for private schools students | 40* |
| Auditing questions | 14 |
| Citizen participation questions | 7 |
| Initiated by state: | |
| Held meeting to explain the program | 63 |
| Provided technical assistance on program mechanics | 45 |
| Requested data for evaluations | 38 |
| Conducted monitoring visit | 37 |
| Asked questions about the local application | 32 |
| Conducted auditing visit | 29 |
| Provided technical assistance on educational services | 27 |
| Questioned proposed use of funds | 19 |

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*Percentage based only on districts with eligible private schools.

questions while preparing his first-year Chapter 2 application. Because he learned then that all the uses he had in mind would be allowable, he has not had any questions since then.

Applications are also a major focus of the meetings that most SEAs have held to explain Chapter 2. Nearly two-thirds of districts report that state meetings have been held, and in only four of the states for which we have reliable data did fewer than 30% of districts report such meetings. One northeastern state holds meetings at least twice a year to discuss the program. Typical topics include changes in the application format and procedures for amending previously submitted proposals. A local coordinator in this state described the meetings as helpful but noted that "after you've been in this game a while, you don't need to go to them for help."

The focus on applications and paperwork as the primary areas of state-local interactions is borne out in responses to another item on the mail questionnaire. We asked:

> Thinking about all your interactions with the state department of education, and also any current mandates or priorities of the department or legislature, in what ways has the state influenced your district's use of Chapter 2 funds?

There was little variation by district size in the answers to this question. Chapter 2 coordinators in 45% of districts perceived no state influences. For the districts where some state effects were reported, the mechanics of applying for funds and keeping records far outdistance other areas, as shown in Table XVIII-3. Moreover, we conclude on the basis of our fieldwork that the 18% of districts where the state influenced "the choice of programs or purchases" include many in which the SEA Chapter 2 office simply clarified what types of purchases the law allows. (This group of districts also includes some whose priorities have been affected by state legislative mandates--a subject we discuss in Section XIX of this report.)

Table XVIII-3

## DISTRICTS' REPORTS OF STATE INFLUENCES

| Area | Percentage of Districts Nationwide Responding Yes |
|---|---|
| State had no influence | 45 |
| State influenced: | |
| Mechanics of applying for funds | 38 |
| District record keeping | 34 |
| District evaluation activities | 21 |
| Choice of programs or purchases | 18 |
| Types of students served | 4 |
| Arrangements for consultation with the public | 4 |
| Types of services for private school students | 4 |

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[*] Responses total more than 100% because multiple responses were allowed.

## Monitoring

Overall, an estimated 37% of districts have been visited by SEA staff monitoring the Chapter 2 program. The percentages range from 58% of the very large districts to 29% of the very small ones.* There are substantial differences among states in the level of monitoring activity reported by local respondents. In nine states, 90% or more of districts have been visited; in 13 states, the figure is 10% or fewer.

By and large, monitoring of Chapter 2 programs is characterized locally as a fairly smooth, nonthreatening process. In none of the districts we visited had SEA staff taken a heavy-handed approach to policing local practice or imposed unexpected requirements on local staff. Thus, although compliance with the law was a primary focus of all the visits we heard about, district staff viewed the monitoring as a routine, expected part of program administration.

In one state in our sample, SEA staff placed particular emphasis on program improvement and our survey data indicate that this is the pattern in several states. In practice, this emphasis meant that monitors in that state (1) urged district staff to devise specific objectives for their Chapter 2 programs and (2) looked for exemplary projects to write up in an SEA newsletter.

A number of states send districts the form or checklist that monitors will use in their visit, before the visit takes place. Figure XVIII shows a list of the areas used by monitors in one state that is quite representative of the forms we found in other states; this particular list is distributed to districts before the visit. For each area, the monitor is to check "yes" or "no." Room for comments is also provided.

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*We must caution that there is no uniform definition of what constitutes a monitoring visit. Our interviews on site suggest that different sorts of visits by SEA personnel (e.g., for evaluation, audits, research) are seen (and reported) as monitoring.

Some typical examples of specific monitoring practices follow:

- Another state uses a yes/no format similar to the one in Figure XVIII-1 and a form for summary comments. In one district that we visited, state monitors had noted the following: "A well run Chapter 2 program. Excellent use of funds; documented; good private school relationships; excellent administration." Several people in this district--both public and private school officials--told us about the SEA monitoring visit, which was described as informal. They told us that the SEA monitors asked "many of the same questions you are asking." No changes were suggested or resulted from the monitoring visit.

- Another district's monitoring (in a different state) was a one-day visit from one SEA staff member. He looked at the accounting system, talked about Chapter 2-supported programs with local officials, and visited several public and private schools (chosen on the day of his visit) to spot check equipment serial numbers and uses. He recommended that district staff write more specific and measurable objectives on their application, develop a better inventory system, and mark all hardware. District administrators plan to follow these suggestions. The local coordinator described the visit as "low key, not harassing. They did their job to check about following guidelines, but were not checking up" [in a threatening way.]

In some cases, although not most, the anticipation of monitoring has produced some nervousness among district staff, whether or not a visit from state officials is imminent, for example:

- In a very small, mainly rural district, the state monitored the Title IV-B program several years ago. At that time, the IV-B coordinator, who is now in charge of Chapter 2, was unable to find for the monitors many items purchased with IV-B funds. Concluding from the earlier visit that the SEA is "real strict on inventory," the coordinator (also a full-time teacher) devotes much of her Chapter 2 time to keeping inventory and visually checking purchased items every 2 years.

## Audits

Concerns about possible audit exceptions were widespread in the early days of Chapter 2. The minimal legal guidance and the breadth of possible program choices caused analysts and practitioners to predict that "audit anxiety" would be a key factor in the implementation of Chapter 2 (e.g., Kyle, 1983; Darling-Hammond and Marks, 1983).

Figure XVIII-1

## SAMPLE OF STATE MONITORING CHECKLIST

### I. Expenditures

A. Is there evidence that funds are allocated according to needs?
B. Are funds used for activities consistent with Chapter 2 purposes and as set forth in application?

### II. Private School Student Participation

A. Did district provide for systematic consultation with parents, teachers, administrative personnel?
B. Did district consult with private school officials regarding development and implementation of Chapter 2 programs before making decisions?
C. Are services equitable?
D. Are services consistent with needs?
E. Are all eligible students given the opportunity to participate?
F. Are services provided by persons independent of private schools?
G. Are services secular, neutral, nonideological?
H. Are funds used to meet needs of students, not schools?

### III. Supplement/Supplant

A. Is there evidence the program is supplementary to the regular program?
B. Is there evidence expenditures are supplemental?

### IV. Equipment/Inventory

A. Are purchases consistent with authorized activities and application?
B. Are all equipment and supplies under the district's administration, direction, supervision, and control?
C. Are purchases used only for stated Chapter 2 purposes?
D. Do equipment records provide for description, serial numbers, acquisition data, cost, location, and condition; are all Chapter 2-purchased equipment and materials identified as such; do records include equipment used in private schools?

### V. Subchapter A Programs

(If applicable) Does program include diagnostic assessment, goals and objectives, preservice and inservice training, activities for parents, and testing and evaluation of program effectiveness?

### VI. Other

A. Does the application adequately describe the program?
B. Were services, materials, and equipment received in a timely manner?
C. Have budgeted positions been filled in a timely manner?
D. Does the district have a surplus of Chapter 2 funds?
E. Have required audits been performed?

That audit anxiety was virtually absent at the local level in the third year of program operations was one of the most unexpected findings in our research. Our mail questionnaire asked, "Aside from the level of funding received, what (if anything) limits how your district uses its Chapter 2 funds?" In only 9% of districts did respondents choose the answer, "Uncertainty about what auditors will require." Very large suburban districts were the only ones reporting somewhat widespread limitations due to uncertainty about audits; 30% of them did so, compared with 16% or fewer districts in all other categories.* The mail survey also asked respondents to indicate what would improve Chapter 2. Only 13% noted "clarification of auditing procedures" as an activity that would improve the block grant, the second least frequently indicated improvement out of 10 possible responses (see Section XIX.)

At about the same time that Chapter 2 was being implemented, the U.S. Office of Management and Budget began requiring recipients of federal funds to shift to a "single audit concept," often referred to as the "A-102 audit" or "Attachment P" (these terms refer to OMB Circular A-102, Attachement P, which outlines this approach to federal program audits). In practice, this means that all federal program funds need not be audited separately; instead, federal funds are treated as a single entity for a given recipient, and specific programs are randomly selected for detailed review.

The single-audit concept was being phased in throughout the country during our data collection, and if anything was causing audit unrest in school districts, it was this new procedure--not Chapter 2. Furthermore, because of the random selection process for programs to be audited, many of the districts we visited said that Chapter 2 had yet to be chosen. Only 14% of the districts in our mail survey had had their Chapter 2 program audited in response to a federal or state request (other than the routine fiscal audit usually required of local school districts).

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*Another report of this study (Apling and Padilla, 1986) discusses the effects of this uncertainty on local spending patterns. Very large districts experiencing uncertainty, for example, have been more likely to buy computers or other materials and equipment.

Our field research also shed light on the audit issue (or the lack thereof). The following examples are typical:

- A large midwestern district has not yet had a special audit of Chapter 2, but this fact is causing no unease. The coordinator said, "We do everything as if we'll be audited tomorrow. We try to follow the rules...we don't try to find the way around them."
- Many districts we visited pride themselves on their fiscal accountability and consider audits a routine procedure. The assistant superintendent of a small midwestern district said, "Every year state and private auditors come in--all the time--so we don't pay much attention."
- In a small Southern district, the absence of an audit makes district staff a little uneasy. The coordinator said, "My recent concern has been that we've not been audited yet. It's just good management."

We offer several possible explanations for the virtual absence of audit anxiety. One is that districts apparently sense that their SEAs provide a degree of protection. Time and again in our field research we were told by local coordinators that they ask the SEA whether what they want to do is allowable. We suspect that SEA sanction of local actions gives district staff a sense of security. Confidence about audits may also be due to the experience of local coordinators. Many coordinators are old hands at federal programs; they treat Chapter 2 in the same way that they treat all federal programs. Moreover, after 3 years of experience with Chapter 2, few audit exceptions have been lodged, and none of them have received attention from the press or practitioners, as was the case for other federal programs (especially ESEA Title I) involving larger sums of money than Chapter 2.

# XIX INTERGOVERNMENTAL INFLUENCES ON LOCAL OPERATIONS*

As we have already described in Section XVII, districts tend to feel that they have a great deal of flexibility under Chapter 2, which is widely appreciated. The exceptions to this pattern appear more related to change in levels of funding than to the requirements or restrictions imposed from above. Nonetheless, local operations are affected in various ways by state and federal actions. The net effect of these actions is that block grant funds are not viewed or treated as entirely unrestricted funds. There are, in fact, a number of subtle ways in which local choices under Chapter 2 are affected by the intergovernmental system of which school districts are a part.

We review in this section the nature of intergovernmental influences on local operations, starting with the way the state influences local program choices, and followed by the way the federal government does (and does not) affect the local level. We then discuss how these and state factors limit local choices. Following that, we review an important special case: the influence of national reform reports and state reform initiatives on uses of the block grant. We close the section by summarizing local perceptions of what would improve the intergovernmental operation of the block grant.

## Summary

The analyses presented in this section can be summarized as follows. First, regarding the state's influences on local program choices, we found:

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*This section is adapted from another report from the National Study (Turnbull and Marks, 1986).

(1) SEAs seem to be making a conscious effort not to influence local program choices, in keeping with federal legislation and guidance. Some states, however, have found creative ways to encourage, or draw attention to, certain local uses of block grant funds they believe are important.

Second, regarding federal influences on local operations, we found:

(2) Federal action does not directly affect the local level (other than through the wording of requirements or allocation of funds). Federal interactions with the state level are primarily aimed at clarifying procedural aspects of block grant implementation.

(3) Indirectly, U.S. Department of Education (ED) guidance and, more recently, monitoring have encouraged some SEAs to change the way they, in turn, interact with districts, e.g., regarding services for private school students or the degree to which states actively monitor local-level activities. Federal monitoring may be communicating to SEAs a need to emphasize and ensure legal compliance more than program support.

Third, regarding the ways the intergovernmental implementation of the block grant affects districts, we found that:

(4) Although the block grant permits great flexibility, local staff perceive some restrictions in it. These restrictions have more to do with fiscal implications of the uses of funds, such as the admonition that the funds supplement and not supplant local funding. Few local staff feel that they are unable to use the funds for the educational purposes they care about.

(5) Other than procedural guidance from the SEA, three types of intergovermental interactions seem to affect the local implementation of Chapter 2 the most:

(a) The lists of program purposes that states include on their application forms have reportedly shaped many districts' options.

(b) Court orders continue to compel some districts to maintain the activities begun under ESAA.

(c) More indirectly, the history of funding for certain activities, especially the purchases made under Title IV-B, seems to have created local decisionmaking patterns that persist in some districts in spite of the new flexibility that Chapter 2 affords.

Fourth, regarding federal and state reforms as an influence on local use of block grant funds, we found that:

(6) Overall, local personnel do not see the block grant as a vehicle for implementing reforms urged by state and national reform reports or enacted by state legislatures. Approximately a tenth of all districts indicate that these reforms are a major influence on decisions about the use of funds.

(7) Block grant funds are commonly used, however, to support certain types of reform or educational improvement goals that are widely held among districts, whether or not districts acknowledge the source of these goals as external. Improvement in computer, mathematics, or science instruction is the most frequently noted example, followed by efforts to improve minimum competency test scores and the development of programs based on effective schools research. More than half of the districts that have these goals as major district priorities use Chapter 2 funds to address them.

(8) Other reform priorities, such as the development of career ladders, promotion of school/business partnerships, or lengthening the school day and year, seem to attract Chapter 2 funding seldom.

Finally, with regard to improving the intergovernmental administration of the block grant, we found that:

(9) A sizable percentage (41%) of all districts think that nothing needs to be done to improve the block grant. This view is especially prevalent among smaller districts.

(10) The most commonly suggested improvement is to reduce federal guidance and regulations; this view is most frequent in the smallest districts (approximately a third indicate so), especially among Chapter 2 coordinators who have had no prior experience with federal programs. Coordinators who take the opposite view and want more federal guidance tend to be in the larger districts.

(11) The largest districts are also more likely to want a change in the state formula (e.g., to emphasize high-cost adjustment factors more), a change in the use of state set-aside funds (e.g., by putting more of these funds into discretionary grants or services to districts), and clarification of audit procedures. Approximately a quarter of the largest districts (enrollments of 25,000 or more) indicated that each of these changes would improve Chapter 2.

## SEAs' Influence on Local Program Choices

In the spirit of federal legislation and guidance (which prohibits SEAs from dictating what districts do with block grant funds), SEAs seem to be making a conscious effort not to influence local program choices under Chapter 2. For example, the SEA Chapter 2 coordinator in a Southern state said, "The SEA is not supposed to tell districts how to spend their money." Other state coordinators echoed this sentiment, although some were frustrated by the prohibition on promoting state priorities through Chapter 2. The message is getting through to local officials. When asked to characterize the state's interaction with the district, only 10% of respondents to the mail survey said that the SEA had taken a directive approach.*

Although we found very little reported state influence on local program choices, we did find some creative forms of encouragement for particular choices:

- One state that is promoting instruction for gifted and talented students has a state-funded program for these students. Its coordinator, who visits districts regularly to provide technical assistance, is paid partly from the state's Chapter 2 set-aside. She makes sure that local staff know that Chapter 2 can fund gifted-and-talented programs. In 1983-84, nearly one-third of the state's districts used Chapter 2 funds for gifted-and-talented programs.
- One state legislature has adopted a reform agenda that will take effect in 5 years, including a requirement for a minimum amount of computer instruction. The SEA is working to make all districts aware of the future requirements, letting them know that computers are an allowable purchase under Chapter 2 and cautioning that once the reforms take effect, Chapter 2 computer purchases may constitute supplanting. SEA staff expect to see continued computer purchases over the next few years.

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*Respondents also did not sense that the state had taken a "hands-off" approach: only 11% chose that response. The vast majority of districts perceive, as we did in our fieldwork, that states do not take a hands-off approach when they prescribe administrative procedures for Chapter 2, including application formats, accounting systems, submission of reports, and the like. District staff distinguish these procedural activities from a directive stance that would affect local programs--a stance that seems very uncommon in SEA Chapter 2 offices.

Whether these are isolated incidents or whether they indicate a trend toward greater state influence remains to be seen. Some possible changes may be due to federal influences, as discussed below.

## Federal Influences on States and Districts

Federal practices can affect local operations in two ways: (1) directly and (2) through interactions with SEAs that subsequently affect school districts. We found little evidence of the first sort of effect. In fact, when there had been local-federal contact, the usual situation was that a local school board member communicated with a member of Congress expressing satisfaction with the block grant and requesting increased appropriations. Again, these contacts were rare.

ED's influence on the state administration of Chapter 2 comes from several sources: regulations, nonregulatory guidance, national meetings, and (recently) monitoring visits to states. Our interviews in SEAs suggest that the major effect of these interactions is simply to clarify legal requirements and provide recommendations for ways of meeting them. Often, the SEAs pass on the new information to districts, thus serving as intermediaries between the federal and local levels.

ED's monitoring visits to states illustrate the indirect federal influences on local operations:

- After ED's visit, one state had to change the guidelines that had been developed for school districts. The state guidelines, issued before the publication of Chapter 2 final regulations, specified that districts should retain for the public school component any funds that would have served nonparticipating private school students, contrary to federal regulations (as explained in Section XV). ED monitors brought this provision to the attention of the SEA, which is changing its guidance.
- In another state, ED monitors discussed the absence of state monitoring of local districts. At the time of ED's visit (Spring 1984), the SEA had monitored only about 3% of its districts. This is a very rural state with significant transportation difficulties

> and costs. ED staff appeared sympathetic to these problems and offered suggestions on ways the SEA could monitor (e.g., regional meetings with Chapter 2 coordinators from several districts).

Other federal-state interactions are more informal and often provide reassurances that states are following proper procedures. One long-tenured state coordinator said:

> "I'm on the phone to [someone in ED's program office] once every 2 weeks on average. Because we go back so damn far, I don't hesitate to pick up the phone.... He helps a lot.""

ED staff have not, however, fully answered some questions raised by states and localities. A particularly troublesome area concerns the supplement-not-supplant requirement. For example, we heard some nervous discussion in the field that using Chapter 2 funds to purchase computers when computer instruction is mandated could be supplanting. Most respondents have adopted a "wait and see" attitude, hoping that ED will eventually comment.

Although the predominant effect of ED practices has been to clarify procedural aspects of Chapter 2, we heard the suggestion that there may be a trend toward more emphasis on legal compliance through such procedures as application review and state monitoring of districts. In a state that has been monitored by the federal government, the SEA Chapter 2 coordinator described an evolutionary process that may affect state influence on local programs:

> "Under Chapter 2 we changed [our approach to administering funds] and now we're doing an about-face again. Under the antecedents we were regulatory. Under Chapter 2, we took the philosophy: we will assist, be helpful. Now we're monitoring, getting more regulatory.... Initially, we didn't evaluate or review applications; we just checked that the dollars added up. We didn't have approval authority, so why bother? Now the law [the Technical Amendments] says "certify" [local applications], so we need more information. It's typical fed! The longer it exists, the tighter it gets!"

As a result of monitoring in this state, the SEA is finding that districts "need a great deal more technical assistance" (which the SEA will provide).

Another coordinator, echoing the observation that ED has increasingly encouraged a state orientation to compliance, said that questions about state monitoring practices have been a key topic of the visits from the Inspector General's staff and the ED program monitors. He told us:

> "In the first year, we actually believed the law. I read the background. It was the intent of Congress to make paperwork an absolute minimum.... OIG was in here a year ago, and they came in with a book filled with questions. Their whole emphasis was the exact opposite, [even though] nothing in the statute or regulations says you should have a heavy monitoring emphasis."

## Perceived Restrictions on the Use of Chapter 2 Funds

The joint result of these state and federal influences and the interactions described in Section XVIII is this: although local administrators perceive a great deal of flexibility in Chapter 2, most of them perceive some limitations on what they can do with the money. As we have reported elsewhere (see Turnbull and Marks, 1986), a substantial percentage (28%) of respondents consider the block grant less flexible than local funds. Table XIX-1 shows that state and federal guidelines are the most commonly perceived constraints on local uses of Chapter 2, with "uncertainty about funding" also limiting some districts' choices.* Uncertainty about audits, as discussed in the previous section, is a lesser issue.

Our field data suggest that the perceived constraints are not severe. Virtually no local respondents could think of activities that they would like to support with their Chapter 2 grant but that they are not allowed to fund. Therefore, we wondered why only 37% of coordinators said on the mail survey that "nothing" limits their uses of the funds. We believe the answer is that they understand the program has regulations and guidelines, but

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*The questionnaire item was phrased, "Aside from the level of funding received, what limits your choices of what to do with Chapter 2 funds?"

Table XIX-1

## INTERGOVERNMENTAL FACTORS LIMITING HOW CHAPTER 2 FUNDS ARE USED

| | Percentage of districts in each size category reporting limitations due to... | | | | |
|---|---|---|---|---|---|
| District Size (Enrollment) | Nothing | State regs/ guidelines | Federal guidelines | Uncertainty about funding | Uncertainty about audits |
| **Very large** (25,000 or more) | 26 | 31 | 38 | 37 | 23 |
| Urban | 29 | 26 | 42 | 39 | 16 |
| Suburban | 27 | 34 | 28 | 35 | 30 |
| **Large** (10,000 to 24,999) | 26 | 38 | 38 | 23 | 10 |
| **Medium** (2,500 to 9,999) | 33 | 32 | 33 | 24 | 13 |
| **Small** (600 to 2,499) | 44 | 24 | 26 | 23 | 8 |
| **Very small** (under 600) | 34 | 35 | 19 | 16 | 8 |
| **All districts** | 37 | 30 | 25 | 21 | 9 |

these are not of the type that foreclose choices attractive to them. Several examples of such regulatory constraints emerged in our interviews:

- Coordinators in many districts emphasized to us that they make sure that Chapter 2 buys items related to instruction rather than such items as typewriters for central offices or new roofing for buildings.
- In some districts there would be pressure to use Chapter 2 for tax relief if it were unconstrained by the supplement-not-supplant requirement. Administrators in two small districts told us that they had fended off board pressures to use the funds in this way--that is, to reduce local taxes with the arrival of the Chapter 2 grant. (Of course, because of the breadth of activities allowed under Chapter 2, there would be no effective way to detect whether other districts used Chapter 2 for more subtle forms of supplanting.)
- Outside constraints in the form of court orders for desegregation also limit what several districts do with their Chapter 2 funds.

The history of antecedent programs has also left its mark on district choices for the use of Chapter 2: in other words, the precedents set by these programs act as a limitation of sorts on program choices under the block grant, even though most districts use some of their Chapter 2 money to try something new. A majority in all district size categories have chosen to continue the antecedent programs that it replaced, as we have noted earlier in this report and elsewhere (see Apling and Padilla, 1986; Turnbull and Marks, 1986). Continuation of support for libraries and media centers and for desegregation-related programs is especially widespread (among districts that had these kinds of programs before). Some reasons for the persistence of familiar spending patterns include the presence of court orders in some desegregating districts, and, more commonly, the fact that the administrators responsible for the antecedent programs retain "ownership" of the funds, both because of their own efforts and because superintendents chose not to control decisionmaking.

One factor causing perceived constraints on local uses of the funds is traceable to the Chapter 2 law, which requires states to track the uses of funds according to the antecedent program categories. SEAs give their districts lists of allowable uses--generally the list of antecedent program titles, but sometimes emphasizing another set of program purposes developed for the form that districts use to apply for Chapter 2 funds.

- When asked if there was anything he could not do with Chapter 2, the coordinator in a small district said, "We never thought of it in those terms. We just take a category and buy allowable purchases."

Our sense is that this approach is quite common, and it may help account for the continuation of activities that the antecedent programs had funded in many districts. A story from another state illustrates the importance that local decisionmakers attach to state listings of program purposes.

- The state included in its application package a list of program areas or goals that Chapter 2 could serve. In the block grant's first year, one district used the funds for minigrants for teachers with innovative ideas. However, the coordinator could not readily fit this program into one of the state's program areas except by limiting it to projects for gifted and talented students. In the second year, viewing the minigrants as a success, the district put local funds into the program so that it could expand to serve all students. The coordinator still believes that such a program cannot fit within Chapter 2 in its present form.

Ironically, not all state coordinators like the idea of listing the antecedent-program purposes for their districts. One complained:

> "The feds wanted to know whether we kept records by antecedent program. We're talking ghosts here! Departed ancestors! They're asking, 'Do you keep watch over the burial ground?'

We then asked that coordinator whether the state's application form asks districts which antecedent purposes they are following, and he replied, "Sure. We're not fools."

We found instances of misunderstanding of block grant requirements by district staff. The supplement-not-supplant requirement has been a major reason for one district's decision to put the money into a different program area every year; for some reason, this strikes them as a good way to meet the requirement. On the other hand, we found a few clear examples of supplanting, such as the district that simply shifted its testing program, intact, from local funds to Chapter 2 funds.

## Chapter 2 as a Vehicle for National or State Reforms

While the intergovernmental system may be seen as a source of limitations on the local use of block grant funds, it can also act as an indirect stimulus to certain kinds of uses by drawing attention to particular educational improvement goals. The National Commission on Excellence in Education report, A Nation at Risk, issued in the spring of the block grant's first year of operation, and the reform initiatives enacted by state legislatures since before Chapter 2 began are key examples of federal or state actions that might inspire local uses of the block grant aimed at implementing these reforms.

On the whole, respondents reported that these reforms were not a major influence on local Chapter 2 decisions. A small proportion of Chapter 2 coordinators (9%) reported that the recommendations in national or state reform reports had been among the main influences on their programs, as Table XIX-2 shows. Such recommendations reportedly influenced somewhat more of the large districts and somewhat fewer of the very small districts. The picture is similar with respect to state mandates or priorities, which also were reported to have been a main influence in 9% of districts and were more influential in larger districts than in smaller ones.

Outside recommendations and priorities may have exerted a greater influence on Chapter 2 in larger districts because the larger grants in those districts can support more expensive reform-oriented projects while the small grants in small districts tend to purchase less expensive supplemental resources (which can provide leverage for change but are less likely to do so). This pattern means that many students are potentially affected by the reforms, reflecting the fact that so many of the nation's students attend school in large districts.

Whether or not they attribute their priorities to any outside influences, many districts are pursuing reforms that match the national and state recommendations. Often, local administrators told us that they had embarked on these reforms before reformers at the national or state level advocated them.

## Table XIX-2

### DISTRICTS REPORTING THAT NATIONAL REFORMS OR STATE PRIORITIES INFLUENCED CHAPTER 2 DECISIONS

| District Size (Enrollment) | Percentage of districts in each size category reporting that a main influence on decisions was... | |
|---|---|---|
| | Reform report recommendations | State mandates or priorities |
| Very large (25,000 or more) | 10 | 14 |
| Urban | 8 | 15 |
| Suburban | 13 | 14 |
| Large (10,000 to 24,999) | 16 | 15 |
| Medium (2,500 to 9,999) | 11 | 13 |
| Small (600 to 2,499) | 9 | 8 |
| Very small (under 600) | 6 | 9 |
| All districts | 9 | 9 |

Figure XIX-1 shows the percentage of districts reporting each of nine improvement priorities and the percentage that are using Chapter 2 to address that priority. The figure makes it clear that Chapter 2 funds are used to address certain kinds of priorities in a large proportion of districts. Instruction in computer literacy, math, or science is by far the area in which Chapter 2 programs line up most closely with both district priorities and reform recommendations. Improving minimum competency test scores and developing programs based on effective schools research are also widely held priorities among districts, most of which use some of their Chapter 2 funding in these areas. The figure also shows that few districts have used Chapter 2 to address some of the other goals that have received attention at the national level or in state legislatures. Nationwide, fewer than 1% of districts have used Chapter 2 for career ladders or merit pay or for lengthening the school day or year. Increasing graduation requirements has been an area addressed with Chapter 2 funds by 6% of the districts.

We should note, however, that these self-reports may understate the fit between Chapter 2 and some types of reforms. Career ladders for teachers provide the best example. In states that have introduced these programs, our local visits indicated that local Chapter 2 activities in staff development are helping teachers move up the ladder, although this is not generally stated as a primary goal of the Chapter 2 program. Moreover, the use of Chapter 2 to support new arrangements for teacher advancement is having a significant effect in some large districts (where many teachers may participate). For example:

- A staff development program in one very large district is not only helping experienced teachers attain "master teacher" status but also training the new teachers who were hired with emergency credentials in response to a teacher shortage.

Another major source of state influence is student competency testing--a type of legislative initiative that clearly inspired several of the uses that we found for Chapter 2 funds:

- A large district has mounted a program of instruction in basic skills to improve students' performance on a state functional reading test.

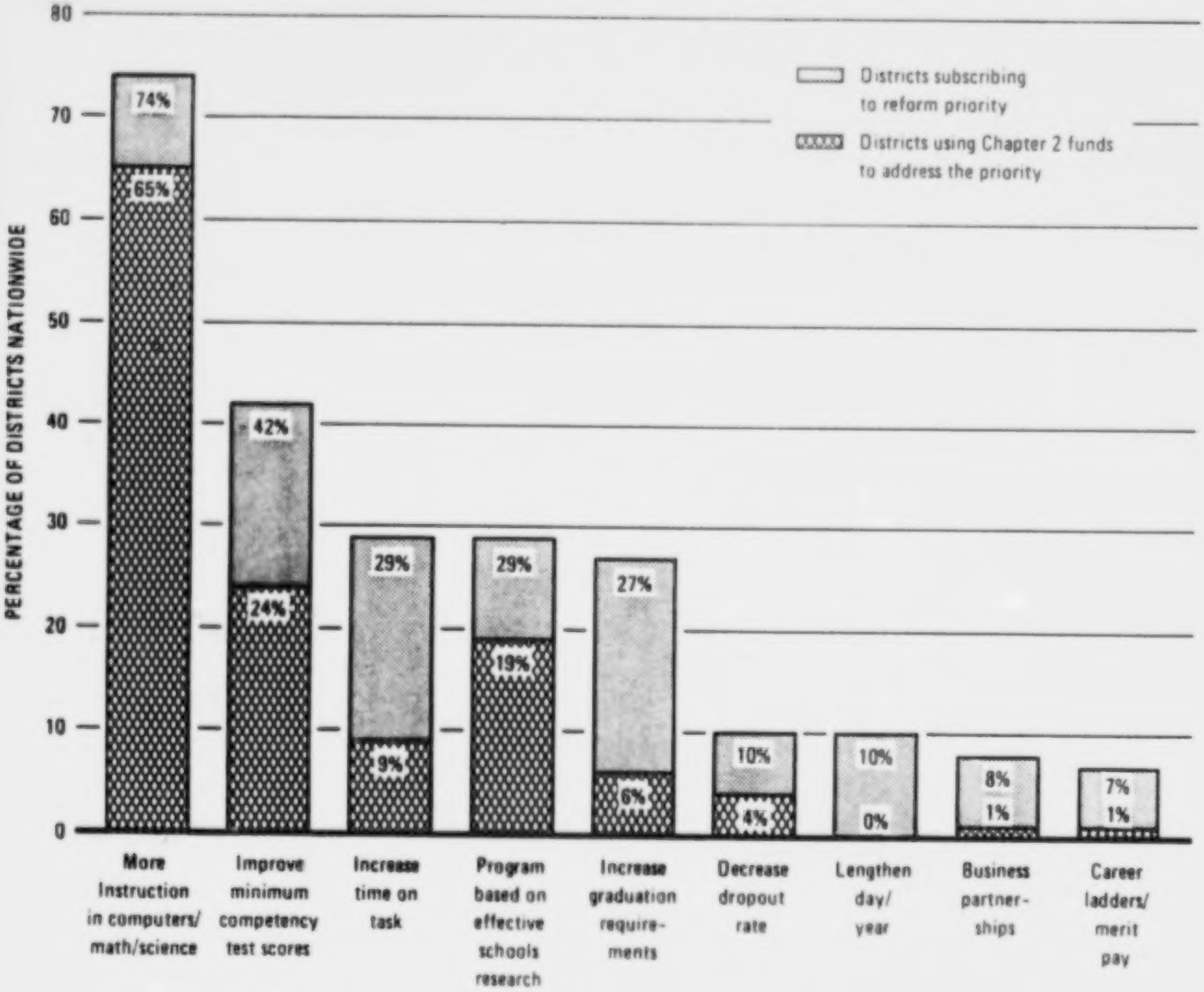

FIGURE XIX-1 REFORM PRIORITIES SUBSCRIBED TO BY DISTRICTS AND ADDRESSED WITH CHAPTER 2

- A very large district, looking ahead to impending state tests in science and computer literacy, has bought science equipment and computers.

Our survey data, reported more extensively elsewhere (Turnbull and Marks, 1986), allow us to describe the Chapter 2-supported activities carried out in those districts whose uses of the block grant were reportedly influenced either by national or state reform reports or by state mandates or priorities. These districts tend to be engaged more heavily in curriculum or new-program development under Chapter 2 than other districts, and, to a lesser extent, in staff development. The districts where state mandates or priorities were reportedly a major influence are especially heavily involved in staff development under Chapter 2. They also are more likely to use Chapter 2 to support instructional services or to develop curriculum or new programs.

## Local Views on Improving the Intergovernmental Administration of Chapter 2

By and large, local administrators receive and appreciate the message that Chapter 2 is available to serve a wide variety of purposes with fairly minimal administrative paraphernalia. Most local views on the program's administration are typified by the coordinator who, when asked whether he would like the SEA to do anything differently, said, "They should just keep saying yes."

However, most coordinators can think of some possible improvement in the intergovernmental operations of Chapter 2. When our survey asked whether anything would improve the program, a sizable proportion (although fewer than half) of the coordinators (41%) said "nothing." This view is especially common among smaller districts. The survey results, summarized in Table XIX-3, show that different respondents would recommend different changes at the federal and state levels; some want less guidance, others (although fewer) want more.

Table XIX-3

INTERGOVERNMENTAL CHANGES RECOMMENDED FOR CHAPTER 2

| District Size (Enrollment) | Percentage of districts in each size category indicating that the following would improve Chapter 2: | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Nothing | Less federal guidance/ regulation | Less state interference | More federal guidance | More state guidance | Change state formula | Change use of state set-aside | Clarify audit procedures |
| **Very large**<br>**(25,000 or more)** | 20 | 16 | 5 | 10 | 9 | 25 | 22 | 25 |
| **Urban** | 15 | 23 | 12 | 8 | 4 | 29 | 26 | 17 |
| **Suburban** | 27 | 8 | 6 | 3 | 18 | 19 | 16 | 34 |
| **Large**<br>(10,000 to 24,999) | 34 | 28 | 4 | 2 | 3 | 12 | 15 | 29 |
| **Medium**<br>(2,500 to 9,999) | 40 | 25 | 5 | 2 | 3 | 14 | 11 | 14 |
| **Small**<br>(600 to 2,499) | 50 | 26 | 8 | 1 | 3 | 16 | 5 | 9 |
| **Very small**<br>(under 600) | 35 | 32 | 17 | 0 | 5 | 19 | 12 | 13 |
| **All districts** | 41 | 28 | 11 | 1 | 4 | 17 | 9 | 13 |

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The respondents who say they want less guidance do not seem to want a wider array of programmatic choices; less guidance from the federal level is the most frequently suggested improvement. The smallest districts (enrollments under 600) were especially interested in this change: approximately a third indicated so. What the respondents in these or other districts mean by "less guidance" is not entirely clear. As we discussed above, very few of the coordinators we interviewed could identify activities that they were unable to fund with Chapter 2. Although we are not entirely sure why so many coordinators say they want less outside guidance, we can say that, to a disproportionate extent, the coordinators who want to see federal or state guidance reduced are those who have not had prior experience with the intergovernmental aid system (see analyses in Turnbull and Marks, 1986).

The coordinators who take the opposite view and want more outside guidance tend to be in the largest districts. Although most coordinators appear to know what the law asks of them, those we interviewed in a few districts, including very large districts, expressed frustration with their uncertainty over requirements.

- A large district's coordinator in one state said that "you can't get a straight answer" from the SEA concerning allowable uses. The president of the school board in the same district speculated that the SEA is deliberately keeping a low profile so that districts will "take the heat" for eventual violations.
- In another state, a coordinator in a very large district had experienced several months of delay before learning from the SEA that a particular type of purchase was not allowable. The main reason for the delay seems to have been that SEA officials were struggling with the question of whether to go along with the pressure from other administrators in the district, who were lobbying for approval of the purchase. The coordinator now says that instead of letting the state handle these issues the federal government should step in and "should more clearly define what is a no-no. Let's put it in stone."

These examples help to explain why nearly a quarter of the largest districts want audit procedures clarified, as Table XIX-3 shows.

In the absence of extensive regulations for Chapter 2, some coordinators turn to the antecedent programs for answers to their questions. One said, "We don't get guidelines, so I go back to IV-B [regulations] to make sure I'm not doing something wrong," adding, "Chapter 2 needs guidelines and flexibility within the guidelines." Another coordinator follows the old regulations in the belief that "the day of reckoning will come" under Chapter 2, when monitors will demand adherence to hitherto unspecified procedures.

On the whole, though, we found little nervousness about a future "day of reckoning." A major reason seems to be that a history of administering categorical programs has given local staff a repertoire of procedures that they believe keep them in compliance. Like the coordinator in a small district who proudly describes himself as "an old soldier with the old Title I," they have simply put in place standard operating procedures for accounting, public consultation, private school students' involvement, and inventory control.

Not all the suggestions for improvement have to do with federal or state guidance. The largest districts (with enrollments of 25,000 or more) are more likely to emphasize different kinds of improvements:

- Change in the state formula, e.g., to adjust the use of "high-cost" factors so that the larger districts, which had large numbers of special-needs students, would receive a larger share of Chapter 2 funding from the annual formula allocation.
- Change in the use of state set-aside funds, e.g., to increase the amounts of state discretionary funds or services to districts.

These suggestions focus on money. Understandably, the largest districts are concerned about this, in part because they lost so much in the transition from antecedent programs.

# PART SIX

# CONCLUSIONS

This part of the report draws together the main themes in our findings across all topic areas addressed by the study and interprets these findings in light of other developments related to federal education policy. Separate sections present:

- A summary of the block grant's accomplishments (Section XX)
- An interpretation of the broader meaning of our findings (Section XXI).

## Summary of the Main Themes in the Study

The major themes in the study's findings can be summarized as follows:

### The Accomplishments of the Education Block Grant

- Achievement of federal goals. As of the third year of its implementation, the block grant has largely achieved the goals set out for it in federal legislation. Chapter 2 has:

  (a) Made widespread, although modest, contributions to educational improvement.

  (b) Reduced the local administrative burdens associated with the programs that it replaced.

  (c) Enhanced local discretion over these federal funds.

  (d) Improved the access of private school students to services supported by these funds.

  A fifth goal--that of encouraging responsiveness to those closest to the education of students (e.g., teachers, parents)--has not been fully achieved; decisionmaking tends to be controlled by a few individuals in the school district office (their decisions, however, are often responsive to salient community concerns).

These goals typically are not difficult to achieve, given the breadth of allowable purposes under the block grant, the fact that three-quarters of the nation's districts received more funds than under antecedent programs, the relative lack of requirements, and the strong prohibition of an active role for the state education agency.

- Achievement of local goals. Given the nature of local goals for block grant funds, it is likely that many, if not most, are achieved to some degree (our study could not systematically assess the achievement of these goals). Local goals typically are modest and diverse and tend not to be specified in detail. Also, block grant funds typically are only one of several means for reaching local objectives.

- Relationship between districts and other levels of government. Interactions between districts and other levels of government have quickly become routinized and relatively trouble-free. SEAs are heeding the law's requirement that they leave program choices to the local level, although there are subtle forms of encouragement for certain uses of the funds. Most interactions between district and state have to do with procedural matters focused on applications and, to a lesser extent, reporting. Monitoring and auditing are not major sources of concern to district personnel, in part because these activities have yet to take place in the majority of districts, in part because SEAs are following patterns long established under other categorical programs when they do monitor or audit.

- Distribution of benefits and costs among districts and among students. Our analyses suggest five broad patterns in the distribution of benefits and costs:

  (a) Chapter 2 has distributed benefits more broadly and evenly among districts than the preceding array of programs.

  (b) The distribution of costs borne by districts (e.g., in terms of loss of funds, complexity in managing services for private school students) is particularly uneven: the largest urban districts, for example, bear a disproportionate share of these costs in all areas of block grant operations at the local level.

  (c) Although adjustments are made for concentrations of special needs, the block grant mechanism tends to disperse funds rather than concentrate resources on those needs.

  (d) The distribution of benefits within districts among different types of students is fairly even, although, because the benefits are spread broadly, students gain proportionately less.

(e) Benefits have been redistributed among student groups across districts: funds have shifted somewhat from larger concentrations of students (e.g., in urban districts) to smaller ones, and to a small extent from public to private school students. Overall, there is not an obvious shift in funding, however, from poor students to others.

## The Broader Meaning of the Study's Findings

- Putting the block grant's accomplishments in perspective. Timing and context are as responsible for any successes the block grant has had as are its philosophy and structure. The block grant's accomplishments build on the foundation laid by former and current categorical programs. Local decisions about the uses of the block grant reflect the surrounding context of concern about educational improvements.

- Lessons for other block grants. Three conclusions can be drawn from the experience of Chapter 2 so far that may be applied to future education block grants, should they be considered:

  (a) The block grant mechanism seems particularly effective at conveying the intended sense of local flexibility.

  (b) Chapter 2 clearly has simplified the administration of federal funds; other block grants are likely to do the same.

  (c) The pervasive tendency for funds to spread out, even to the point of dilution, seems likely to occur under other block grants.

  In applying these lessons, however, one must acknowledge the special characteristics of Chapter 2 that might not pertain to future block grant proposals--namely, that at current funding levels Chapter 2 represents a relatively small amount of funds, that it comes at a time when other, larger categorical programs serve many of the special educational needs faced by districts, and that it has consolidated a set of programs without large and active political constituencies.

- Chapter 2 and the federal role in education. The education block grant signals a new kind of federal role in education, unlike service to special-needs populations or attention to areas of national concern, which have defined the traditional federal role to date. Chapter 2, instead, seeks to provide federal support for local improvement initiatives. The block grant does so in a way that utilizes existing categorical program structures more than it departs from them. In this sense, Chapter 2 represents a variation on a theme developed over a period of years rather than an altogether new direction for federal policy.

# XX THE ACCOMPLISHMENTS OF THE EDUCATION BLOCK GRANT

The fact that the education block grant is many things to many people at the local level leaves one with difficult questions about the grounds on which it is to be judged. We see four criteria that seem especially important to consider:

- Achievement of federal goals
- Achievement of local goals
- Effects on the intergovernmental system
- Distribution of benefits and costs across districts and students.

In this section, we review the block grant's accomplishments in terms of these criteria. In the following section, we discuss the meaning of these accomplishments, by interpreting them in light of surrounding events and policies. Finally, we reflect on the meaning of our findings for other educational block grants and for the federal role in education more generally.

The sections of this report have explored a number of dimensions of block grant implementation and effects. The analyses we have reported permit us to understand what Chapter 2 has achieved from the perspective of the legislation that initiated this aid and the local educators who define the direction and form the aid takes. Our findings also permit us to observe the block grant as an intervention in the intergovernmental system of education and finally as a mechanism that distributes benefits (and costs) among districts and students. Not necessarily reflected in stated federal or local goals, the last two perspectives are nonetheless central to debates that shape federal education policy. We consider each perspective in turn.

## Achievement of Federal Goals

In Section I, we identified five goals set out in the ECIA legislation, each of which provides a yardstick with which to take the measure of the block grant at the local level:

- Educational improvement.
- Reduction in local administrative burden.
- Enhancement of local discretion.
- Responsiveness to those closest to the education of students (teachers, parents, etc.).
- Equitable participation of private school students.

Our analyses with respect to each goal have been discussed in separate sections earlier in this report and in four special issue reports.* We briefly summarize the major themes here.

Educational Improvement--By the broad definition we outlined in Section IX, the block grant has made widespread, although modest, contributions to educational improvement, in particular:

- Introducing new kinds of equipment and materials. Block grant funds have fully or partially supported the introduction of computer technology into three-quarters of the nation's school districts. Although not yet thoroughly integrated into the instructional program, these computers are actively being used and are generating considerable excitement among students and staff.

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*See Sections IX (educational improvement), X (administrative burden reduction), XVII (enhancement of local discretion), XI and XII (responsiveness to school staff and parents), and XIV through XVI (equitable participation of private school students). For more detailed analyses regarding the first three goals, see Knapp (1986); also see Turnbull and Marks (1986) regarding the enhancement of local discretion; Blakely and Stearns (1986) addresses responsiveness to parents and citizens; the participation of private school students is the focus of Cooperstein (1986).

- Curriculum improvement. A quarter of the nation's school districts (one and a half times the number that did so under antecedent programs) are using Chapter 2 funds to develop curricula, particularly in areas such as computer literacy, reading, mathematics, and science.

- Staff renewal. Staff development is being supported with block grant funds in a quarter of all school districts (more than twice the percentage that did so before the block grant), and much of this (in about half the districts using funds for staff development) is for retraining in areas of teacher shortage.

- Schoolwide coordination and planning. A majority of school districts are supporting what they consider to be "schoolwide improvement activities"; in a smaller proportion of cases (about a quarter of districts nationwide), the funds are contributing to "programs based on effective schools research," according to survey respondents. However, there is little evidence that Chapter 2 is responsible for stimulating schoolwide planning except under certain circumstances (e.g., where districts fund school minigrants).

- Innovation. A majority of school districts view the block grant money as seed money or as the means to initiate new programs. These innovations are extremely varied, and tend not to be as structured as under former programs supporting innovations such as ESEA Title IV-C; however, Chapter 2 clearly enables new ideas to be tried out in a wider range of districts.

The magnitude of these improvements is often small, reflecting the proportionately small size of Chapter 2 grants and the tendency to use the funds for more than one thing in a district. But local educators describe the improvements as important, often critical, to particular aspects of their instructional programs.

As for promoting the specific improvements advocated in recent federal and state reform reports, the block grant has had only weak effects, chiefly with respect to the improvement of mathematics, science, and computer literacy, and to a lesser extent, improvement in student's competency test scores. Certain kinds of reform recommendations--e.g., regarding incentives for teachers or increasing students' time on task--have not guided the use of the block grant in any significant way.

Administrative Burden Reduction--The basic pattern for most districts is: administrative burdens under the block grant are generally low, and they have either been reduced by comparison with antecedent programs or were not very burdensome to begin with. There are important exceptions to the general rule, having to do with particular kinds of administrative tasks (e.g., administering services for private school students, evaluating Chapter 2) in certain types of settings (e.g., in very large districts in states that require more local reporting).

Administrative costs often are unreimbursed under the block grant, but although most districts do cover some or all of the costs of administering Chapter 2 with local funds, they do not express concern over this situation. Once again, there are important exceptions, chiefly involving the unreimbursed costs of providing services to private school students and the generally high cost of administering the block grant in the largest districts.

Enhancement of Local Discretion--Although there is some variation depending on the antecedent programs that were in a district, Chapter 2 is widely perceived as either more flexible than the programs that preceded it or about the same. The perception results from the low level of requirements under the block grant, combined with broad authorization of purposes, the increases in funding relative to antecedent programs (for most districts, which contrasts sharply with the heavy losses in some), and the general lack of external constraints. Districts experiencing large losses in funding, however, tend to feel that their flexibility has been reduced, especially where binding external mandates such as desegregation court orders leave little room for choice.

Districts have not always acted on the flexibility they feel they have under Chapter 2. It is very common for districts to have continued antecedent programs (especially ESEA Title IV-B) rather than give alternatives serious consideration. At the same time, a majority of districts are supporting something with Chapter 2 that they did not fund under antecedent programs. By comparison with antecedent programs, districts in all size categories are, on average, using the funds for a wider range of activities now than before the block grant's inception.

Responsiveness to Those Closest to the Education of Students—The flexibility under the block grant is experienced by certain individuals at the local level and not others. As a result, the block grant often is not as responsive to certain interests as it might be. Typically, a core decisionmaking group consisting of a few district officials (e.g., Chapter 2 coordinator, superintendent or assistant superintendent, and others with a stake in the block grant funds) retains control over the larger decisions about block grant use. Others--principals and teachers, and occasionally parents--are brought into the decision process in varying degrees, less so into allocation decisions (e.g., whether to use the funds for computers or staff development), more so into the decisions about implementation (e.g., what computers to purchase, where in the school to locate them). Districts tend not to set up consultation mechanisms specific to Chapter 2, preferring to use existing groups (curriculum committees, parent advisory councils) for advice, if they seek advice at all. The most frequent form of "consolidation" is through a school board meeting. However, the school board's role in Chapter 2 decisionmaking tends not to be significant: unlike other federal programs (like Chapter 1, which supports compensatory education for disadvantaged students), the block grant tends to have a less visible identity to the board.

Although the interests of these various parties may be taken into account in the decisionmaking process, the broad consultation process envisioned by the ECIA law is not taking place in most districts. Flexibility for a few does not easily translate into flexibility for many.

With regard to parents, the block grant is not directly responsive to their concerns or desires in one sense. Parents are not heavily involved in district deliberations concerning Chapter 2 program decisions, nor are most districts investing considerable effort to encourage that participation. Many districts do not meet the letter or the spirit of the law with respect to systematic consultation with parents about the use of block grant funds. However, our findings do suggest that parents and citizens can influence district Chapter 2 decisions through indirect means. Parents and the community exert this influence through district-level committees that are often not directly linked to the formal Chapter 2 decisionmaking structure, through school-based administrators and teachers, and, most importantly, from district administrators' perceptions of community sentiments. In this sense, the use of block grant funds often responds directly to salient concerns in the community. However, not all community interests are effectively heard.

Equitable Participation of Private School Students--Our analyses suggest that private school students participate as actively in services supported by Chapter 2 as they did in services supported by antecedent programs, and often more so. In aggregate the funds that purchase services for these students have increased substantially. More specifically:

- In the districts we visited, virtually all private schools identified as eligible that want their students to participate in Chapter 2 are able to have them participate. Those not participating do not do so because of access problems; the major reasons for nonparticipation are philosophical objections and the small amount of money involved.
- Generally, Chapter 2 funds are allocated to public and private school students on an equal per pupil basis, although certain adjustments may affect this distribution. Personnel in some districts, particularly those that had participated in ESAA, were upset about this provision of Chapter 2; however, in general, this requirement has been accepted and the law has been followed.
- Private school personnel usually feel that Chapter 2 is providing services they believe their students need under Chapter 2, even though private school students have available to them a narrower range of activities under Chapter 2 than do public school students. There is evidence that some districts may be restricting the range of activities for private school students.

Defined in terms of legislative requirements, private school students are served more equitably under Chapter 2 than under the antecedent programs.* Access has improved; participation has increased; funds are shared more equally between public and private school students. Certain factors promote equitable participation, including an active state agency, strong state-level private school organizations, and a long history of private school participation in state and federal programs. Equity can be strained in certain circumstances, such as in districts that have lost large amounts of money with the block grant; however, it seems that Chapter 2's regulations are generally followed, and the legislative goal is generally being achieved.

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*There are other meanings for "equitable participation" held by some at the local level, having to do with whether private school students are served in proportion to their need for special federal assistance, e.g., as demonstrated by the numbers of "high-cost" children they serve. By this interpretation (which federal guidance does not accept), the increased participation of private school students in Chapter 2-supported services may not seem so "equitable."

In summary, these goals have been largely achieved by the block grant, with some important exceptions noted above. One must realize that as the law states them (and as we have defined them), it is not difficult for most of these federal goals to be achieved, at least minimally. By authorizing a wide range of purposes, mandating an 80% flow-through of funds to the local level, and proscribing state influence over the local use of funds, the federal government made it very likely that districts would find the block grant flexible. The consolidation of numerous programs into a single authorization, combined with the reduction in planning, reporting, or consultation requirements, could not help streamlining the administration of the block grant. The broad concept of educational improvement leaves much room for districts to support any activity that promises to improve some facet of the local instructional program. Responsiveness to at least some local interests follows from the fact that districts often act on the flexibility they perceive in the law. Even small increases in private school participation represent an increase in the equitability of their participation (as defined by federal law and regulations).

Part of the reason these goals are easily achieved lies with the global statement of goals in the law itself, which allows no precise yardstick for measuring the block grant's success. One must turn to local criteria to understand, in more specific terms, what the block grant has accomplished for district educational programs.

## Achievement of Local Goals

In aggregate, local goals for the use of block grant funds are as diverse as the enabling legislation permits. Although our study did not systematically examine a sample of local projects to determine whether their local objectives had been met, our research in the field permits us to make some informed observations about these goals and their achievement.

- Districts usually have multiple goals for the use of Chapter 2 funds. These goals tend to be diverse, responding to various needs within the district.
- Local goals typically are modest. Partly because the small amount of money does not usually allow ambitious goals and because districts put the funds into more than one activity, local educators do not have grand expectations about what Chapter 2 support will accomplish.
- The block grant typically is only one means of reaching local objectives. The block grant generally supplies partial support for programs that receive funds from other federal, state, or local sources; for example, 5 computers for a 12-computer laboratory, part of an aide's salary for a remedial program, a set of new materials for a junior high science program.
- In most districts, local goals for block grant use are not specified in detail, at least not enough detail to identify the unique contribution of Chapter 2 funds. Because of the partial support pattern just mentioned (and because most states do not require carefully specified objectives in district Chapter 2 applications), local objectives for Chapter 2 funds often are not specified independent of the larger projects to which the funds contribute. The implied objective in such instances is to further the goals of the larger project.

Given these characteristics of local goals for Chapter 2, one may argue that local goals for block grant use are likely to be achieved. Once again, this achievement is typically not difficult. To take a simple example: by specifying its objectives as "the introduction of computer technology to third graders," a district may succeed at least minimally by simply purchasing a few computers and putting them into the hands of a few interested third grade teachers. The introduction of computers purchased with Chapter 2 funds is often more elaborately planned than this example implies, but the goals for the use of the computers typically are as broad and open-ended. The block grant thus has given districts the ability to supplement various aspects of the local instructional program in small, but locally valued, ways.

## Relationship Between Districts and Other Levels of Government*

In addition to goal attainment, one may judge the block grant in terms of its effect on the intergovernmental system. Our investigation of intergovernmental relations under Chapter 2 showed that interactions between local districts and other levels of government have quickly become routinized and relatively trouble-free. Most state-local interactions are simple local requests for clarification of application procedures or allowable uses. Neither monitoring nor auditing has stirred much local concern. Although most districts have not yet been visited by state monitors in connection with Chapter 2, they tend not to report any particular uncertainty or worry associated with this fact.

States appear to be heeding the law's requirement that they leave program choices in the hands of local districts. State coordinators told us that they are making conscious efforts to stay out of program decisions, and our local data bear them out. Few local coordinators perceive their SEAs as "directive." This perception does not mean that local programs are unaffected by state priorities, though. Although only a small fraction of local coordinators reported that state mandates or priorities were a major source of influence on decisions, we found many examples of subtle or indirect influence. Some SEA staff members encourage district administrators to put Chapter 2 funds into particular types of activities, such as gifted-and-talented programs in one state. The lists of program purposes appearing on state application forms help shape local understanding of options. Also, state initiatives such as competency testing create incentives for districts to set up particular types of programs.

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*The summary of the block grant's accomplishments in this area have drawn heavily on analyses in another report from the National Study (Turnbull and Marks, 1986).

Although local decisions are not quite as independent of state influence as coordinators say they are, nevertheless, the intergovernmental interactions under this block grant have transmitted a clear message of local discretion and flexibility. Coordinators tend to report a minimal sense of burden or constraint associated with the program. They recognize that the law carries with it some requirements, such as supplement-not-supplant, that rule out such uses as tax relief. However, our field research turned up virtually no instances of local decisionmakers who wanted to do something that could not be accommodated under the block grant's requirements.

## The Distribution of Benefits and Costs Among Districts and Students

In addition to the quality of intergovernmental interactions or the achievement of federal and local intentions, the way Chapter 2 distributes benefits and costs among districts and also among the members of the student population nationwide may be used as a criterion for judging the block grant. Our analyses converge on several generalizations about this distribution pattern.

- Chapter 2 has distributed benefits more broadly and evenly among districts than the preceding array of programs. Previous sections have documented the spread of funds and types of activities across districts under Chapter 2 as contrasted with antecedent programs (many of which were focused on only a few activities).
- The distribution of costs (to service delivery systems) is particularly uneven. Few districts bear significant costs under Chapter 2, and those that do have borne a disproportionate burden. Very large urban systems, in particular, have lost a substantial amount of services and funds, at the same time managing complex services for private school students and often allocating a larger share of the remaining funds to these students.
- Although adjustments are made for concentrations of special needs, the block grant mechanism tends to disperse rather than concentrate resources on these needs. Although the formula distribution mechanisms do weight for concentrations of special-needs students,

the effect on the distribution of funds is not great. The range of funds per pupil available to districts, for example, does not differ greatly across most districts. Within districts, the block grant typically supports various activities that serve all students, rather than specific target groups, even though the latter purpose is clearly an option.

- The distribution of benefits among student groups tends to be fairly even (and somewhat dilute) within districts, and somewhat uneven across districts. As just noted, the types of uses of the block grant typically are aimed at the full range of student needs and, as a consequence, most students have access to these benefits. When the benefits are spread broadly, however, students may gain proportionately less. Across districts, these benefits have moved away somewhat from concentrations of students (e.g., in the larger districts) and to a small extent towards private school students. There is not, however, an obvious shift of funding away from concentrations of high poverty students (except among the largest urban districts).

An examination of these distributional effects leads quickly to questions of fairness. One can only answer such questions from the perspective of particular groups (of districts or students) who might or might not be treated fairly, and from a philosophy regarding how one balances the unequal needs of these groups. It serves no useful purpose for a study of this kind to advocate the interests of any particular group; rather, it is useful to point out that the block grant is not--and cannot be--all things to all groups. The benefits it brings to many districts and students imply costs to others. Judgments of the block grant, especially political ones, must take account of that fact.

# XXI THE BROADER MEANING OF THE STUDY'S FINDINGS*

Although there may be reasonable differences of opinion about the block grant's contribution to particular needs, it is hard to dispute the fact that, on the whole, Chapter 2 has made modest contributions to the educational programs of the nation's school districts. This funding vehicle has enabled many districts to try small things they had not done before or to continue programs they felt were valuable. And these accomplishments have happened with relatively little intrusion or disruption in the affairs of local districts.

## Putting the Block Grant's Accomplishments in Perspective

But the block grant's philosophy and structure are not solely responsible for any successes it may have had. Timing and context are equally important. The block grant's accomplishments build on the foundation laid by former and current categorical programs in important ways. The surrounding context of educational reform also energizes districts' efforts to make constructive use of the funding. One might even say that, without this foundation or context, block grant aid would amount to less; it came at a time when districts were prepared to make good use of it.

Thus, districts find good things to do with their block grant funds in part because reform is in the air or because antecedent programs have set in motion projects that were worthy of continuing. There is much evidence, also, that the program structures supported with antecedent funding sources have continued either because the antecedent programs have been maintained under Chapter 2 or because such devices as ESAA planning committees or minigrant review processes had been used before. Except where the loss of funding under the block grant has forced districts to drop whole programs, the coming of Chapter 2 has not meant that districts have forgotten what they learned how to do under the more highly specified programs of the past. (Evaluation is a possible exception; we have found relatively little evidence that evaluation practices required under antecedent programs have continued to the present.)

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*The conclusions presented here draw heavily on the discussion of intergovernmental relations in another report from the National Study (Turnbull and Marks, 1986).

The experience of implementing Chapter 2 almost certainly would have been different if it had not taken place in the context of an extensive history of categorical programs. State and local officials quickly settled into a routine of applications, record keeping, and compliance with provisions such as supplement-not-supplant because these were all familiar parts of other categorical programs. Chapter 2 simplified many procedures but did not alter the basic administrative framework associated with federal funds.

We think that experience with other programs explains not only the ease of implementing the law's procedures but also the absence of anxiety in the intergovernmental system. For example, at the start of Chapter 2 many district officials expressed concern that in the future auditors would impose strict limits on what appeared to be a flexible law, and that districts then would face penalties for breaking rules that no one had known about. Our research, taking place in the third year of the block grant, found that "audit anxiety" has become a nonissue for most districts. We conclude from our fieldwork that one reason is that the accounting procedures districts use for Chapter 2 are the same ones they follow for large, frequently audited programs like Chapter 1. Following these procedures allows local staff to feel confident about future audits.

The programmatic history of other categorical funds at the local level has also influenced choices under Chapter 2. For example, activities that began under Title IV-B or ESAA have continued in many local districts. Some districts have used the funds to extend the services offered to special target groups, such as the disadvantaged or those with limited English proficiency. The flexibility of Chapter 2 is seen as an asset in such programs; for example, if Chapter 2 funds purchase computers that are used primarily by Chapter 1 students, district officials believe that they are more free to have other students share the use of the computers than they would if Chapter 1 were the funding source. More often, Chapter 2 offers a complement to targeted programs and is used to serve "the regular student" who does not qualify for categorical aid. In any of these cases, we can see that categorical programs have helped to shape the local perception of options for Chapter 2.

## Lessons for Other Block Grants

Consolidation of federal education programs is not an entirely new phenomenon. The enactment of ESEA Title IV in 1974 represented a response to various pressures for program simplification (McDonnell and McLaughlin, 1980). Chapter 2 takes a further step in program consolidation by including numerous programs with diverse purposes under the general heading of "educational improvement." As the first federal education block grant, Chapter 2 provides lessons that may be applied to future block grants. Although Chapter 2 is still relatively new and some perceptions may change over time, we can draw some conclusions on this subject.

First, it seems reasonable to conclude that another block grant would convey the intended sense of local flexibility. Both SEAs and local districts have received the message of flexibility under Chapter 2. Initial concerns that district staff would feel constrained by audit anxiety or improper state influences have not been borne out. Although most districts are not using Chapter 2 to make new programmatic departures, local decisionmakers do understand that their range of choice under the block grant is as broad as they could wish.

Second, local staff recognize and appreciate the reduction in administrative burden associated with a block grant. Briefly, with some exceptions (chiefly in the area of private school students' participation), local coordinators find little that is burdensome or difficult about implementing Chapter 2. This administrative streamlining could be expected to be a benefit of another block grant as well.

Third, the pervasive tendency for funds to spread out among many alternative purposes and beneficiaries, even to the point of dilution, seems likely to occur under other kinds of block grants. We draw no ultimate conclusions about the value of this funds dispersion, but we do note that this tendency limits the block grant's impact on any particular target of concern. If a way were found in future block grants to leverage other resources--e.g., through explicit funds-matching incentives-- more extensively than appears to have happened under the block grant, then the breadth achieved by the block grant may be complemented by more depth than now is the case.

We must temper these conclusions with several observations about the Chapter 2 block grant and its programmatic and political context. For one thing, at current funding levels, Chapter 2 represents a modest infusion of funds. Although in aggregate approximately a third of a billion dollars is distributed under the block grant directly to districts, the tendency just described for funds to spread make it unlikely for Chapter 2, at its current levels of funding, to have more substantial impacts on the nation's school districts. A more heavily funded block grant of the same type might have a more clearly visible effect on improvement goals. A less heavily funded block grant risks insignificance, unless its focus is more sharply defined.

Aside from acknowledging its level of funding, Chapter 2's track record to date must also be interpreted in light of the many large categorical programs that surround and have preceded it. The existence of standard operating procedures for handling federal funds at the state and local levels has been a major influence on the smoothness of Chapter 2's implementation. Moreover, the presence of other categorical programs seems to affect local opinions on Chapter 2. Federal funds--and large amounts of them--are earmarked for the handicapped, the educationally disadvantaged, vocational education students, adults without high school diplomas, and other target groups. Many local officials appear able to enjoy the flexibility of Chapter 2 in part because these other categorical programs continue to direct attention and funds to special-needs populations. Although we heard repeated requests for increases in Chapter 2 allocations, we heard fewer calls for current categorical programs to become block grants. Removing the federal presence in these areas could force local decisionmakers into politically unpalatable choices, which could decrease the attractiveness of block grants.

Unlike many of these existing categorical programs, the ones folded into Chapter 2 had small constituencies. This fact further distinguishes Chapter 2 from other education block grants considered in the past or that might be proposed in the future. The primary group with a vested interest in programs folded into Chapter 2 was school librarians, and their influence is clearly seen in the continuation of the types of purchases made under Title IV-B. Otherwise, the programs were so small (e.g., metric education) or affected so few school districts (e.g., ESAA) that little sustained resistance was met in the transition to Chapter 2. The massive opposition to the proposal in the early 1980s to put vocational and handicapped education funds into a block grant illustrated the reaction that can arise when sizable constituencies are threatened.

## The Federal Role in Education

Historically, the federal role in education has taken one of two forms: (1) services to special-needs populations, such as the disadvantaged or the handicapped, or (2) attention to areas of national concern, such as research and dissemination of model practices. Chapter 2 signals a new role. Within minimal constraints, the federal government simply provides supplemental funds that local decisionmakers may spend in accordance with local needs and priorities. In this respect, the block grant is aimed at supporting--even mobilizing--local initiatives for educational improvement from the federal level.

The intergovernmental mechanism for accomplishing this goal, maintains most of the trappings of categorical programs. In this sense, Chapter 2 has brought about no revolutionary changes in intergovernmental relations in education. This is somewhat ironic because the federal priorities embodied in the program--streamlining administrative processes and minimizing federal and state intervention in local decisions--have to do with intergovernmental procedures.

There is further irony in the fact that past experience with categorical programs forms the foundation for many of the practices we found in this investigation. Although such routines as applications and monitoring have been simplified for Chapter 2, many local officials told us that they fall back on standard operating procedures as an easy way to comply with the law. Furthermore, rather than serving as a major vehicle for any educational reform other than computer instruction, Chapter 2 in many districts supports the continuation of activities that began under Title IV-B or ESAA. These earlier federal programs seem to have helped define local priorities that remain strong in many places.

In sum, it is difficult to generalize about the federal role or any other aspect of the block grant's implementation on the basis of experience with Chapter 2. This modest block grant generally has achieved its aims at the local level and in the intergovernmental realm. However, although Chapter 2 represents a new departure in federal education policy, its effects on local practices and local perceptions of intergovernmental aid are likely to continue at their current modest level, assuming that the block grant remains in its current form.

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# Appendix A

# TECHNICAL NOTE AND STANDARD ERROR VALUES FOR TABLES

## Appendix A

## TECHNICAL NOTE AND STANDARD ERROR VALUES FOR TABLES

This appendix contains a technical note and tables replicating those in text, including row or column N's and standard error values for means or proportions. (Tables in text for which standard error values are irrelevant and which already include N's are not found in this appendix.)

### Technical Note

The tables in text and in this appendix are all based on population (or subpopulation) N's, estimated by multiplying raw N's within each cell of the survey stratification grid by the inverse of the sampling fraction (recalculated to reflect nonresponse) and by the inverse of the item matrix sampling fraction. Thus, all percentages, means, and medians in the tables are national estimates. For further detail on sampling and weighting procedures, see Appendix E.

### Standard Error Values for Tables

Confidence intervals around estimated population means and proportions can be calculated by:

$$+/- 1.96\ (Se_x)\ [p < .05]$$

The significance of differences of non-overlapping samples can be determined from the normally distributed statistic:

$$(M_1' - M_2')\ /\ (Se_1{}^2 + Se_2{}^2)^{1/2}$$

where $M_1$ and $M_2$ are means (or proportions) and where $Se_1$ and $Se_2$ are standard errors of the two samples.

Table A-II-3

## AVERAGE FORMULA AND TOTAL CHAPTER 2 FUNDING, BY SIZE OF DISTRICT (1984-85)

(Standard error values are in parentheses)

| District Size (Enrollment) | Median formula funds | Median total funds* |
|---|---|---|
| Very large (25,000 or more) (N = 159) | $397,587 | $399,709 |
| Urban (N = 90) | 451,385 | 451,385 |
| Suburban (N = 69) | 310,301 | 341,704 |
| Large (10,000 to 24,999) (N = 461) | 104,000 | 107,212 |
| Medium (2,500 to 9,999) (N = 2,888) | 29,602 | 29,823 |
| Small (600 to 2,499) (N = 5,043) | 9,000 | 9,000 |
| Very small (under 600) (N = 6,293) | 2,036 | 2,036 |
| All districts (N = 14,844) | 6,422 | 6,422 |

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[*] The total Chapter 2 funds received by districts = formula allocation + state discretionary funding (if any).

Table A-II-5

## AVERAGE AMOUNT OF DISTRICT CHAPTER 2 FUNDS PER PUPIL, BY SIZE OF DISTRICT

| District Size (Enrollment) | Amount of 1984-85 Chapter 2 funds per pupil | | | Percentage of students nationwide | Percentage of national Chapter 2 funding |
|---|---|---|---|---|---|
| | 10th percentile | Median | 90th percentile | | |
| Very large<br>(25,000 or more)<br>(N = 148) | $6.40 | $8.19 | $14.65 | 26 | 32 |
| Urban | 6.78 | 9.19 | 15.88 | 16 | 22 |
| Suburban | 5.55 | 7.63 | 9.82 | 10 | 10 |
| Large<br>(10,000 to 24,999)<br>(N = 443) | 5.23 | 7.16 | 10.39 | 17 | 16 |
| Medium<br>(2,500 to 9,999)<br>(N = 2,892) | 4.08 | 6.85 | 10.99 | 35 | 30 |
| Small<br>(600 to 2,499)<br>(N = 5,038) | 4.57 | 7.42 | 12.71 | 18 | 17 |
| Very small<br>(under 600)<br>(N = 6,376) | 6.00 | 8.96 | 15.80 | 4 | 6 |
| All districts<br>(N = 14,897) | 4.98 | 7.89 | 15.80 | 100 | 100 |

## Table A-II-7

## DISTRIBUTION OF EIGHT LARGEST ANTECEDENT PROGRAMS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in each size category that received funds in 1981-82 under the following antecedent programs: | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | ESEA IVB | ESEA IVC | ESAA | Career Education | Basic Skills | Gifted and Talented | Teacher Corps | Teacher Centers |
| Very large (25,000 or more) (N = 163) | 95 (1) | 63 (2) | 48 (2) | 30 (2) | 25 (2) | 12 (1) | 22 (2) | 10 (2) |
| Urban (N = 92) | 96 (1) | 71 (2) | 60 (2) | 23 (2) | 23 (2) | 9 (1) | 32 (2) | 16 (2) |
| Suburban (N = 71) | 94 (2) | 54 (3) | 32 (2) | 40 (3) | 28 (2) | 15 (2) | 10 (1) | 3 (1) |
| Large (10,000 to 24,999) (N = 3,003) | 96 (2) | 47 (3) | 12 (2) | 22 (3) | 5 (1) | 10 (2) | 5 (3) | 4 (1) |
| Medium (2,500 to 9,999) (N = 5,230) | 96 (1) | 33 (2) | 7 (1) | 11 (1) | 5 (1) | 4 (1) | 0.4 * | 1 (1) |
| Small (600 to 2,499) (N = 5,230) | 95 (1) | 23 (3) | 2 * | 8 (2) | 3 (1) | 4 (2) | 1 * | 1 (2) |
| Very small (under 600) (N = 5,982) | 86 (5) | 9 (2) | 3 (2) | 4 (3) | 7 (4) | 1 * | 0 (0) | 0 (0) |
| All districts (N = 14,848) | 92 (2) | 20 (1) | 4 | 7 (1) | 5 (2) | 3 (1) | 1 * | 1 (1) |

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[*] Between 0% and .5%

Table A-II-8

## AVERAGE FUNDING FROM ANTECEDENT PROGRAMS (1981-82) AND CHAPTER 2 (1982-83), BY SIZE OF DISTRICT

| District Size (Enrollment) | Median antecedent funds (1981-82) | Median Chapter 2 funds* (1982-83) | Percent change |
|---|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 162/154) | $352,481 | 382,716 | +9 |
| Urban<br>(N = 92/187) | 543,923 | $433,100 | -20 |
| Suburban<br>(N = 70/67) | 250,281 | 329,171 | +32 |
| Large<br>(10,000 to 24,999)<br>(N = 456/446) | 70,737 | 94,233 | +33 |
| Medium<br>(2,500 to 9,999)<br>(N = 2,934/2,670) | 17,617 | 28,410 | +61 |
| Small<br>(600 to 2,499)<br>(N = 5,066/4,605) | 4,946 | 8,841 | +79 |
| Very small<br>(under 600<br>(N = 5,388/5,496) | 1,399 | 1,972 | +41 |
| All districts<br>(N = 14,005/13,371) | 4,706 | 6,532 | +39 |

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* Including both formula and state discretionary funds.

Table A-II-9

## DISTRICTS THAT LOST AND GAINED FUNDING UNDER CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts that had ... (Standard error values are in parentheses) Greater than 75% gain | 26-75% gain | 5-25% gain | Little loss or gain | 5-25% loss | 26-75% Loss | Greater than 75% loss |
|---|---|---|---|---|---|---|---|
| Very large (25,000 or more) (N = 158) | 32* (2) | 12 (1) | 8 (1) | 5 (1) | 15 (1) | 23 (1) | 6 (1) |
| Urban (N = 90) | 26 (2) | 11 (2) | 8 (2) | 3 (1) | 13 (2) | 29 (2) | 11 (2) |
| Suburban (N = 68) | 40 (2) | 12 (2) | 8 (2) | 7 (2) | 17 (3) | 15 (2) | 0 (0) |
| Large (10,000 to 24,999) (N = 466) | 47 (3) | 15 (3) | 8 (2) | 3 (1) | 6 (1) | 18 (2) | 3 (1) |
| Medium (2,500 to 9,999) (N = 2,809) | 50 (2) | 19 (2) | 5 (1) | 4 (1) | 5 (1) | 14 (1) | 4 (1) |
| Small (600 to 2,499) (N = 4,773) | 51 (4) | 20 (3) | 8 (2) | 3 (1) | 4 (1) | 13 (2) | 2 (1) |
| Very small (under 600) (N = 5,327) | 52 (6) | 11 (3) | 10 (3) | 6 (1) | 3 (3) | 10 (4) | 8 (4) |
| All districts (N = 13,533) | 51 (3) | 16 (2) | 9 (1) | 4 (1) | 4 (1) | 12 (2) | 5 (2) |

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*Rows may not sum to 100% because of rounding error.

### Table A-III-1

### DISTRIBUTION OF BLOCK-GRANT-SUPPORTED ACTIVITIES ACROSS DISTRICTS AND STUDENTS

(Standard error values are in parentheses)

| Educational Activity Categories | Percentage of districts nationwide | Percentage of students nationwide in these districts |
|---|---|---|
| Computer applications (N = 15,445) | 72 (2) | 82 |
| Support for libraries, media centers (N = 15,414) | 68 (3) | 78 |
| Curriculum or new program development (N = 15,393) | 25 (2) | 44 |
| Staff development (N = 15,362) | 27 (2) | 55 |
| Student support services (N = 15,386) | 15 (1) | 34 |
| Instructional services (N = 15,284) | 16 (2) | 33 |

Table A-III-2

## ACTIVITIES SUPPORTED BY BLOCK GRANT FUNDS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Computer applications | Library/media center support | Curriculum development | Student support services | Instructional services | Staff development |
|---|---|---|---|---|---|---|
| | Percentage of districts in each size category putting 1984-85 Chapter 2 funds into: | | | | | |
| Very large (25,000 or more) (N = 162) | 85 (2) | 86 (2) | 56 (2) | 52 (2) | 54 (2) | 78 (2) |
| Urban (N = 92) | 85 (2) | 86 (2) | 50 (2) | 54 (3) | 62 (2) | 83 (2) |
| Suburban (N = 70) | 87 (2) | 85 (2) | 62 (3) | 49 (3) | 44 (3) | 73 (2) |
| Large (10,000 to 24,999) (N = 471) | 82 (3) | 82 (3) | 49 (4) | 42 (3) | 36 (4) | 68 (3) |
| Medium (2,500 to 9,999) (N 3,009) | 78 (2) | 71 (2) | 33 (2) | 22 (2) | 25 (2) | 40 (2) |
| Small (600 to 2,499) (N = 5,298) | 80 (3) | 64 (3) | 25 (3) | 17 (3) | 12 (2) | 27 (3) |
| Very small (under 600) (N = 6,517) | 62 (5) | 68 (5) | 18 (4) | 7 (3) | 13 (4) | 16 (4) |
| All districts (N = 15,457) | 72 (2) | 68 (2) | 25 (2) | 15 (1) | 16 (2) | 27 (2) |

Table A-III-4

OTHER USES OF CHAPTER 2 FUNDS

(Standard error values are in parentheses)

| Uses of Chapter 2 funds | Percentage of all districts using some or all of their 1984-85 Chapter 2 funds for these activities | |
|---|---|---|
| Desegregation-related activities:* any kind of activities related to achieving desegregation goals or reducing racial isolation (N = 14,202) | (N = 14,202) | 6 (29)** (1) |
| Minigrant programs: e.g., locally sponsored competitive grants to support teachers' or schools' proposals | (N = 14,810) | 3 (1) |
| Community education: e.g., instructional services for community members or other outreach services | (N = 14,810) | 2 (1) |
| Administration: e.g., administrators' salaries, indirect administrative costs | (N = 14,810) | 6 (1) |
| Evaluation: Use of funds to support evaluation, not necessarily aimed at addressing Chapter 2's implementation or effects | (N = 14,810) | 1 * |
| Miscellaneous: Any uses that do not fit into previous categories | (N = 14,810) | 11 (2) |

---

[*] Desegregation-related activities could fall under any of the six major educational uses discussed earlier. See Section VIII for more detail on what was included within this category.

[**] Desegregation is not an issue in every district. Twenty-nine percent of districts that had implemented some kind of desegregation plan in the last 5 years used Chapter 2 funds to assist with these activities. See Section VIII for a more detailed discussion.

[*] Between 0% & .5%

Table A-III-5

GRADE LEVELS TOWARD WHICH BLOCK GRANT FUNDS ARE DIRECTED, BY TYPE OF ACTIVITY

(Standard error values are in parentheses)

| Types of Activities* (N) | | Among the districts nationwide directing 1984-85 block grant funds for each activity, the percentage aimed at each grade level | | | | |
|---|---|---|---|---|---|---|
| | | Preschool/ kindergarten | Lower elementary (Gr. 1-3) | Upper elementary (Gr. 4-6) | Jr. high/ middle | Senior high |
| Computer applications | (N = 11,650) | 16 (4) | 55 (4) | 77 (3) | 74 (3) | 68 (3) |
| Curriculum/new-program development | (N = 3,569) | 14 (10) | 54 (8) | 67 (3) | 57 (8) | 54 (8) |
| Student support services | (N = 2,391) | 11 (21) | 36 (21) | 54 (21) | 43 (4) | 68 (21) |
| Other instructional programs | (N = 2,399) | 14 (8) | 64 (8) | 72 (7) | 61 (13) | 48 (13) |
| Staff development | (N = 4,352) | 38 (4) | 82 (4) | 83 (4) | 76 (5) | 64 (7) |

---

*Table omits the sixth major activity category, library/media center support (see explanation in text).

Table A-III-6

## TYPES OF STUDENTS TOWARD WHICH CHAPTER 2 FUNDS ARE DIRECTED

(Standard error values are in parentheses)

| | Percentage of districts that used 1984-84 Chapter 2 to support.... | | | |
|---|---|---|---|---|
| Types of Students | Computer applications | Curriculum/ new-program development | Student support services | Instructional services |
| Target groups: | | | | |
| Gifted and talented | 29* (3) | 36* (4) | 23* (11) | 20* (4) |
| Dropouts/ potential dropouts | 9 (2) | 9 (2) | 19 (2) | 9 (3) |
| Economically/ educationally disadvantaged | 21 (3) | 16 (3) | 25 (4) | 42 (12) |
| Handicapped | 18 (3) | 16 (7) | 19 (3) | 27 (11) |
| Limited English proficient | 6 (1) | 8 (3) | 8 (3) | 15 (5)** |
| | 12** (3) | 17** (14) | 20** (16) | 29** (24) |
| "Average" students | 23 (3) | 23 (8) | 20 (3) | 26 (11) |
| All types of students | 92 (1) | 79 (4) | 82 (11) | 58 (11) |
| | (N = 11,610) | (N = 3,717) | (N = 2,394) | (N = 2,409) |

---

* Percentages should be interpreted as follows: 29% of the districts using 1984-85 Chapter 2 funds for computer applications targeted at least some of these funds toward gifted and talented students, etc. (Note that even so, many of these same districts also indicated that, overall, "all types of students" were served by their computer applications programs.)

** Percentage of districts with at least some Hispanic students (we had no measure for other groups that might have significant proportions of limited-English-proficient children).

Table A-III-7

## CHANGE IN ACTIVITIES SUPPORTED BY ANTECEDENT PROGRAMS AND THE BLOCK GRANT

(Standard error values are in parentheses under column b)

| Type of Activity | Percentage of all districts that used federal funds to support each activity (and proportion of nation's students potentially served)... | | | |
|---|---|---|---|---|
| | Under antecedent programs to support this activity in 1981-82 school year | | Under Chapter 2 in 1984-85 school year | |
| | a | b | a | b |
| Computer applications | 20 (23)* | (3) | 72 (82)* | (2) |
| Library/media center support | 89 (82) | (3) | 68 (78) | (3) |
| Curriculum or new program development | 17 (30) | (2) | 25 (44) | (2) |
| Student support services | 14 (30) | (2) | 15 (55) | (1) |
| Instructional services | 9 (18) | (2) | 16 (34) | (2) |
| Staff development | 12 (26) | (2) | 27 (33) | (2) |

---

[*] The percentage in parentheses in column a indicates the proportion of the nation's student population in the districts using antecedent or Chapter 2 funds for each activity.

Table A-III-8

## CHANGE IN TYPES OF ACTIVITIES SUPPORTED OVER THE 3 YEARS OF THE BLOCK GRANT, BY ACTIVITY CATEGORY

(Standard error values are in parentheses)

| | Percentage of all districts that used Chapter 2 funds for each activity category in the following school years... | | |
|---|---|---|---|
| Activities | 1982-83 | 1983-84 | 1984-85 |
| Computer applications | 49 (4) | 60 (4) | 72 (2) |
| Library/media center support | 72 (4) | 67 (4) | 68 (3) |
| Curriculum or new program development | 19 (2) | 19 (2) | 25 (2) |
| Student support services | 11 (1) | 14 (2) | 15 (1) |
| Instructional services | 9 (1) | 8 (1) | 16 (2) |
| Staff development | 18 (2) | 17 (2) | 26 (2) |
| | (N = 13,062) | (N = 14,014) | (N = 15,455) |

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## Table A-IV-1

## NUMBER OF AREAS IN WHICH DISTRICTS SPEND CHAPTER 2 RESOURCES, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in each size category spending 1984-85 Chapter 2 funds on each number of activity categories | | |
|---|---|---|---|
| | One* | Two* | Three or More* |
| Very large<br>(25,000 or more)<br>(N = 162) | 0 (0) | 10 (1) | 90 (1) |
| Urban<br>(N = 92) | 0 (0) | 8 (2) | 92 (2) |
| Suburban<br>(N = 70) | 0 (0) | 13 (2) | 87 (2) |
| Large<br>(10,000 to 24,999)<br>(N = 471) | 6 (2) | 13 (3) | 81 (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 3,009) | 15 (1) | 32 (2) | 54 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,298) | 27 (3) | 37 (3) | 37 (3) |
| Very small<br>(under 600)<br>(N = 6,517) | 43 (5) | 36 (5) | 21 (4) |
| All districts<br>(N = 15,457) | 30 (3) | 34 (3) | 35 (2) |

---

*Out of 6 major activity categories. See Section III.

## Table A-IV-2

## TOTAL CHAPTER 2 DOLLARS ALLOCATED TO DIFFERENT TYPES OF RESOURCES (FOR PUBLIC SCHOOL SERVICES)

(Standard error values are in parentheses)

| Expenditure Category | Percentage of all districts that used funds for this resource | Total spent by districts on this category in 1984-85* | Proportion of total local Chapter 2 spending | |
|---|---|---|---|---|
| Personnel | | | | |
| Teachers (specialist, classroom) | 11% (1) | $ 44,751,902 | 13.9% | |
| Administrators | 4 (1) | 13,063,252 | 4.0 | |
| Other certificated personnel (e.g., counselors) | 3 * | 14,688,579 | 4.6 | |
| Noncertificated personnel (e.g., aides) | 6 (1) | 13,361,440 | 4.1 | |
| Other salaries | 3 (1) | 6,692,200 | 2.1 | |
| Subtotal | | | | 28.7% |
| Equipment Materials, and Supplies | | | | |
| Computer hardware | 58 (3) | 79,124,142 | 24.5 | |
| Computer software | 44 (3) | 16,071,893 | 5.0 | |
| Other equipment (e.g., audiovisual) | 37 (3) | 33,703,282 | 10.4 | |
| Books and other materials | 63 (3) | 62,436,703 | 19.3 | |
| Subtotal | | | | 59.2 |
| Other | | | | |
| Consultants | 8 (1) | 6,971,678 | 2.2 | |
| Training/staff development costs** | 19 (2) | 16,805,185 | 5.2 | |
| Indirect administrative costs | 10 (1) | 4,835,054 | 1.5 | |
| Other | 11 (1) | 11,213,291 | 3.5 | |
| Subtotal | (N = 14,610) | | | 12.4 |
| Total | | $323,718,601* | | 100.3%+ |

---

[*] Districts reported this spending in the middle of the school year, both as a total of funds spent and projected to be spent (in some cases including funds carried over from the previous year). The figure thus does not match precisely the total district allocation figure in Section II.

[**] Not including consultants. Some other staff-development-related costs (e.g., the salary of a staff development coordinator) could be included in other line items.

[+] Does not equal 100% due to rounding error.

[++] Between 0% & .5%

Table A-IV-3

## AVERAGE CHAPTER 2 AMOUNTS ALLOCATED TO EACH LINE-ITEM EXPENDITURE CATEGORY

| District Size (Enrollment) | Median total public allocation | Median amount per district put into the following expenditures:* | | | | |
|---|---|---|---|---|---|---|
| | | Teachers' salaries | Administrators' salaries | Other certificated salaries | Noncertificated salaries | Other salaries |
| Very large<br>(25,000 or more) | $373,216<br>(N = 159) | $110,161<br>(N = 113) | $ 44,826<br>(N = 79) | $ 75,510<br>(N = 48) | $ 38,807<br>(N = 90) | $ 22,800<br>(N = 68) |
| Urban | 394,417<br>(N = 90) | 141,429<br>(N = 68) | 52,736<br>(N = 49) | 93,200<br>(N = 31) | 55,414<br>(N = 56) | 21,034<br>(N = 43) |
| Suburban | 306,000<br>(N = 69) | 87,261<br>(N = 45) | 41,448<br>(N = 30) | 40,670<br>(N = 17) | 26,143<br>(N = 34) | 25,849<br>(N = 25) |
| Large<br>(10,000 to 24,999) | 101,112<br>(N = 461) | 29,200<br>(N = 145) | 11,814<br>(N = 64) | 28,300<br>(N = 53) | 8,558<br>(N = 135) | 5,572<br>(N = 76) |
| Medium<br>(2,500 to 9,999) | 28,258<br>(N = 2,933) | 13,452<br>(N = 544) | 8,189<br>(N = 135) | 13,974<br>(N = 225) | 6,867<br>(N = 327) | 3,375<br>(N = 142) |
| Small<br>(600 to 2,499) | 8,736<br>(N = 5,051) | 4,000<br>(N = 399) | 7,000<br>(N = 186) | 7,154<br>(N = 100) | 3,000<br>(N = 100) | 90<br>(N = 7) |
| Very small<br>(under 600) | 2,106<br>(N = 6,384) | 531<br>(N = 395) | 100<br>(N = 141) | 1,300<br>(N = 12) | 886<br>(N = 153) | 1,750<br>(N = 94) |
| All districts | 6,349<br>(N = 14,989) | 7,938<br>(N = 1,596) | 4,009<br>(N = 605) | 15,926<br>(N = 439) | 4,126<br>(N = 805) | 2,781<br>(N = 388) |

---

*Excluding cases where $0.00 was spent on each category.

Table IV-3 (Concluded)

| District Size (Enrollment) | Computer hardware | Other equipment | Computer software | Materials | Consultants | Training | Indirect costs, administration | Other costs** |
|---|---|---|---|---|---|---|---|---|
| | Median amount per district put into the following expenditures:* | | | | | | | |
| Very large (25,000 or more) | $ 50,000<br>(N = 105) | $ 32,682<br>(N = 95) | $ 10,000<br>(N = 82) | $ 53,492<br>(N = 144) | $ 14,220<br>(N = 81) | $ 14,527<br>(N = 95) | $ 13,720<br>(N = 101) | $ 20,128<br>(N = 92) |
| Urban | 40,278<br>(N = 54) | 30,613<br>(N = 52) | 10,000<br>(N = 41) | 64,209<br>(N = 79) | 14,970<br>(N = 49) | 19,430<br>(N = 57) | 13,966<br>(N = 66) | 28,792<br>(N = 51) |
| Suburban | 59,500<br>(N = 51) | 34,989<br>(N = 43) | 9,397<br>(N = 41) | 40,500<br>(N = 65) | 9,100<br>(N = 32) | 9,000<br>(N = 38) | 11,929<br>(N = 35) | 12,000<br>(N = 41) |
| Large (10,000 to 24,999) | 28,101<br>(N = 304) | 14,500<br>(N = 280) | 5,400<br>(N = 273) | 27,237<br>(N = 370) | 4,344<br>(N = 170) | 10,000<br>(N = 248) | 2,122<br>(N = 235) | 4,000<br>(N = 161) |
| Medium (2,500 to 9,999) | 12,900<br>(N = 1,830) | 7,032<br>(N = 1,312) | 2,500<br>(N = 1,369) | 7,103<br>(N = 1,884) | 2,000<br>(N = 381) | 3,050<br>(N = 789) | 1,017<br>(N = 414) | 1,624<br>(N = 605) |
| Small (600 to 2,499) | 5,834<br>(N = 3,180) | 2,970<br>(N = 1,922) | 1,000<br>(N = 2,267) | 3,458<br>(N = 2,686) | 2,000<br>(N = 366) | 2,113<br>(N = 782) | 501<br>(N = 586) | 570<br>(N = 502) |
| Very small (under 600) | 1,825<br>(N = 2,402) | 1,000<br>(N = 1,829) | 600<br>(N = 2,039) | 1,000<br>(N = 4,092) | 1,873<br>(N = 226) | 1,125<br>(N = 541) | 270<br>(N = 116) | 1,028<br>(N = 302) |
| All districts | 5,237<br>(N = 7,820) | 2,553<br>(N = 5,438) | 1,000<br>(N = 6,030) | 2,403<br>(N = 9,176) | 2,000<br>(N = 1,225) | 2,610<br>(N = 2,456) | 718<br>(N = 1,451) | 1,600<br>(N = 1,662) |

---

*Excluding cases where $0.00 was spent on each category.

**Other costs include travel expenses, fiscal audits, testing, and minigrants to schools.

Table A-IV-4

## CONTINUATION OF SUPPORT UNDER THE BLOCK GRANT FOR ACTIVITIES FUNDED BY ANTECEDENT PROGRAMS

(Standard error values are in parentheses)

| Activity Category | (a) Estimated number of districts nationwide using antecedent funds in 1981-82 to support activity | (b) Percentage of districts in (a) using 1984-85 block grant funds to support the same activity |
|---|---|---|
| Computer applications | 2,411 | 84 (13) |
| Support for libraries, media centers, etc.* | 10,971 | 70 (4) |
| Curriculum or new-program development | 2,093 | 57 (14) |
| Student support services | 1,722 | 49 (6) |
| Instructional services | 1,052 | 57 (10) |
| Staff development | 1,494 | 62 (15) |
| Desegregation-related activities** | 908 | 66 (4) |

---

[*] Includes materials and equipment other than computer hardware or software.

[**] This category cuts across most of the preceding ones, because ESAA funding could have been used in various activity areas. See discussion in Section VIII.

## Table A-IV-5

## USE OF CHAPTER 2 FUNDS TO SUPPORT REFORM PRIORITIES

(Standard error values are in parentheses)

| Educational Improvement Goal | (a) Estimated number of districts with goal as top priority | (b) Estimated percentage of districts in (a) that used Chapter 2 to address the goal |
|---|---|---|
| Improve computer literacy, math, or science instruction | 10,065 | 85 (4) |
| Implement effective schools research | 3,944 | 64 (7) |
| Improve test scores | 5,712 | 60 (8) |
| Dropout prevention | 1,360 | 33 (4) |
| Improve time on task | 3,944 | 29 (6) |
| Raise graduation requirements | 3,808 | 22 (17) |
| Create partnerships with business | 1,088 | 13 (3) |
| Career ladders or merit pay for teachers | 952 | 8 (10) |
| Lengthen school day or year | 1,360 | 5 (1) |

Table A-V-1

## CHAPTER 2 SUPPORT FOR COMPUTER HARDWARE/SOFTWARE AND OTHER INSTRUCTIONAL MATERIALS OR EQUIPMENT

(Standard error values are in parentheses)

| Type of Activity (n) | Percentage of districts nationwide that are using 1984-85 Chapter 2 funds for each type of activity | Total local Chapter 2 dollars spent on these areas (percentage of total local Chapter 2 dollars) | |
|---|---|---|---|
| Computer hardware/ software (N = 15,455) | 72 (2)* | $ 98,757,903 | (30)** |
| Other instructional materials/equipment (N = 15,414) | 68 (3)* | $ 96,682,360 | (29)** |
| Either of the above (N = 15,457) | 95 (1)* | $195,440,263 | (59)** |

---

* Standard errors.

** Percentage of total local Chapter 2 dollars.

Table A-V-2

## AVERAGE AMOUNT (AND PROPORTION) OF DISTRICT FUNDS FOR COMPUTERS OR OTHER INSTRUCTIONAL MATERIALS AND EQUIPMENT

| | Average (median) funding allocated by district in each size category for... | | | |
|---|---|---|---|---|
| | (a) Computer hardware/ software | | (b) Other instructional materials/equipment | |
| District Size (Enrollment) | Amount* | Proportion** | Amount* | Proportion** |
| Very large<br>(25,000 or more)<br>(N = 102/103/114/115) | $63,134 | 11% | $94,832 | 25% |
| Urban<br>(N = 56/56/64/64) | 55,201 | 10 | 97,721 | 25 |
| Suburban<br>(N = 46/47/50/51) | 77,500 | 20 | 75,960 | 25 |
| Large<br>(10,000 to 24,999)<br>(N = 341/346/348/355) | 25,358 | 30 | 40,276 | 40 |
| Medium<br>(2,500 to 9,999)<br>(N = 2,089/2,122/ 1,889/1,938) | 13,207 | 50 | 11,535 | 40 |
| Small<br>(600 to 2,499)<br>(N = 3,652/3,898/ 2,996/3,173) | 6,020 | 70 | 4,580 | 50 |
| Very small<br>(under 600)<br>(N = 3,453/3,562 4,239/4,360) | 2,002 | 80 | 1,405 | 75 |
| All districts<br>(N = 9,637/10,031 9,586/9,941) | $ 4,688 | 65% | $ 2,753 | 53% |

---

[*] Median amount from districts' 1984-85 allocation, excluding all districts that did not allocate funds to this use.

[**] Median proportion of the districts' 1984-85 allocation, excluding all districts that did not allocate funds to this use.

## Table A-V-3

## BLOCK GRANT SUPPORT FOR HARDWARE VERSUS SOFTWARE PURCHASES

(Standard error values are in parentheses)

| Type of Purchase | Among districts using the funds for computer equipment, percentage making each type of purchase | Total amount of local 1984-85 Chapter 2 dollars |
|---|---|---|
| Hardware | 83% (3) | $79,124,142 |
| Software | 64% (4) | $16,071,893 |

---

[*] The sum of these--$95,196,035--may slightly underestimate district expenditures for computer applications. Another questionnaire item, on which Table V-1 was based, puts the total allocations to computer applications at $98,757,903.

Table A-V-4

## LINK BETWEEN CHAPTER 2-SUPPORTED COMPUTER PURCHASES AND CURRICULUM DEVELOPMENT, STAFF DEVELOPMENT, AND DISTRICT IMPROVEMENT PRIORITIES

(Standard error values are in parentheses)

| | Percentage of all districts using block grant funds to support computer applications (in any of the 3 years of Chapter 2) in which ... | |
|---|---|---|
| District Size (Enrollment) | Chapter 2-supported curriculum development or staff development also focused on computers | Improving instruction in mathematics, science, and computer literacy was a major district priority |
| Very large<br>(25,000 or more)<br>(N = 122/130) | 47 (5) | 86 (3) |
| Urban<br>(N = 74/70) | 50 (6) | 83 (5) |
| Suburban<br>(N = 48/52) | 42 (8) | 90 (4) |
| Large<br>(10,000 to 24,999)<br>(N = 292/381) | 52 (6) | 89 (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 1,244/2,328) | 62 (4) | 81 (2) |
| Small<br>(600 to 2,499)<br>(N = 1,634/3,974) | 59 (8) | 82 (4) |
| Very small<br>(Under 600)<br>(N = 834/3,644) | 24 (8) | 84 (5) |
| All districts<br>(N = 4,125/10,456) | 52 (4) | 83 (2) |

Table A-V-5

## HOW CHAPTER 2-SUPPORTED COMPUTERS ARE USED: CURRICULAR AREAS AND TYPES OF USE

(Standard error values are in parentheses)

Among districts that put 1984-85 Chapter 2 funds into computer applications, percentage using the computers for...

| Curricular area | |
|---|---|
| Mathematics | 70 (4) |
| Reading/writing/ language | 64 (4) |
| Computer literacy | 61 (4) |
| Basic skills | 58 (4) |
| Business education | 35 (3) |
| Science | 34 (3) |
| Vocational/career education | 25 (3) |
| Social studies/ history | 24 (3) |
| Arts/music | 11 (2) |
| Foreign language | 8 (2) |
| ESL/bilingual | 3 (1)<br>12* (2) |
| | (N = 11,652) |

| Type of use | |
|---|---|
| Drill and practice in noncomputer courses | 68 (3) |
| Computer literacy programming courses | 68 (4) |
| Teaching tool in noncomputer courses (other than for drill and practice) | 67 (4) |
| Instructional management | 24 (3) |
| Administrative applications | 15 (3) |
| Local software development | 10 (2) |
| | (N = 11,362) |

---

[*] Percentage of districts based only on those with populations of Hispanic students (a rough proxy for districts with a need for ESL/bilingual services; however, we had no measure for other populations, e.g., Southeast Asian, that might need these services). This percentage increases as the percentage of Hispanic students goes up: 32% of the districts with more than 20% of the student population Hispanic used computers for ESL/bilingual programs.

### Table A-V-8

### BLOCK GRANT SUPPORT FOR INSTRUCTIONAL BOOKS AND MATERIALS AND EQUIPMENT (OTHER THAN COMPUTERS)

(Standard error values are in parentheses in the first column)

| Purchase Area | Percentage of districts using 1984-85 funds in this area | Total amount of dollars (and percentage of total LEA Chapter 2 expenditures)* |
|---|---|---|
| Books and materials (other than computer software) | | \$62,799,993 (20)+ |
| Library books | 69 (4)** | |
| Audio-visual materials | 47 (4) | |
| Other materials and supplies | 17 (3) | |
| Textbooks | 13 (3) | |
| Other items | 10 (3) | |
| Equipment (other than computer hardware) | | \$33,703,282 (10)+ |
| Audiovisual equipment | 49 (4) | |
| Other equipment | 13 (3) | |
| | (N = 10,719) | |

---

[*] The sum of these--\$96,503,275--differs slightly from the figure appearing in Table V-1 because it was derived from another questionnaire item that asked for expenditures as opposed to allocations.

[**] Standard errors.

[+] Percentage of total LEA Chapter 2 expenditures.

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## Table A-V-9

## CURRICULAR AREAS COVERED BY INSTRUCTIONAL MATERIALS AND EQUIPMENT (OTHER THAN COMPUTER HARDWARE OR SOFTWARE) PURCHASED WITH CHAPTER 2 FUNDS

(Standard error values are in parentheses)

| | Among districts that use block grant funds to support libraries, media centers, etc. in which the indicated curriculum areas were specially targeted |
|---|---|
| Wide variety of areas | 77% (3) |
| Reading/writing/language | 44 (4) |
| Social studies/history | 38 (4) |
| Basic skills | 37 (4) |
| Science | 33 (4) |
| Mathematics | 27 (4) |
| Arts/music | 21 (4) |
| Computer literacy | 17 (3) |
| Health | 16 (3) |
| Vocational career education | 14 (3) |
| Business education | 11 (3) |
| Physical education | 10 (3) |
| Foreign language | 8 (2) |
| Multicultural awareness | 4 (1) |
| ESL/bilingual | 4 (1) |
| | 8 (3)* |

---

*Percentage of districts based only on those with populations of Hispanic students (a rough proxy for districts with a need for ESL/bilingual services; however, we had no measure for other populations, e.g., Southeast Asian, that might need these services).

## Table A-VI-1

## CHAPTER 2 SUPPORT FOR CURRICULUM OR STAFF DEVELOPMENT, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District size (enrollment) | Percentage of districts in each size category putting 1984-85 Chapter 2 funds to ... | |
|---|---|---|
| | Curriculum development | Staff development |
| Very large<br>(25,000 or more)<br>(N = 162) | 56 (2) | 79 (2) |
| Urban<br>(N = 92) | 50 (2) | 83 (2) |
| Suburban<br>(N = 70) | 62 (3) | 73 (2) |
| Large<br>(10,000 to 24,999)<br>(N = 471) | 49 (4) | 68 (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 3,009) | 33 (2) | 40 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,298) | 25 (3) | 27 (3) |
| Very small<br>(under 600)<br>(N = 6,517) | 18 (4) | 16 (4) |
| All districts<br>(N = 15,459) | 25 (2) | 27 (2) |

Table A-VI-2

## AVERAGE AMOUNT AND PROPORTION OF DISTRICT'S BLOCK GRANT FUNDS FOR CURRICULUM OR STAFF DEVELOPMENT, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| | Curriculum development | | Staff development | |
|---|---|---|---|---|
| District size (enrollment) | Median* amount | Median* proportion | Median* amount | Median* proportion |
| Very large<br>(25,000 or more)<br>(N = 71/72/89/90) | $59,714 | 15% | $55,871 | 10% |
| Urban<br>(N = 37/37/58/59) | 44,792 | 10 | 67,188 | 10 |
| Suburban<br>(N = 34/35/31/31) | 78,048 | 20 | 34,559 | 10 |
| Large<br>(10,000 to 24,999)<br>(N = 160/162/239/243) | 10,863 | 10 | 16,817 | 16 |
| Medium<br>(2,500 to 9,999)<br>(N = 603/634/927/932) | 4,200 | 15 | 3,973 | 12 |
| Small<br>(600 to 2,499)<br>(N = 740/834/911/976) | 1,720 | 15 | 2,111 | 15 |
| Very small<br>(under 600)<br>(N = 746/821/703/788) | 1,155 | 32 | 300 | 20 |
| All districts<br>(N = 2,320/2,523/<br>2,369/3,029) | 2,444 | 19 | 2,250 | 16 |

---

*Medians are based on 1984-85 allocations, excluding cases that put $0.00 into each activity.

## Table A-VI-3

## AREAS IN WHICH CHAPTER 2 SUPPORTS CURRICULUM DEVELOPMENT

(Standard error values are in parentheses)

| | Among districts using 1984-85 Chapter 2 funds for curriculum development that supported each of the indicated curricular areas |
|---|---|
| | (N = 3,417) |
| Reading/writing | 42 (14) |
| Computer literacy | 37 (8) |
| Basic skills | 25 (3) |
| Science | 24 (3) |
| Vocational education | 24 (8) |
| Mathematics | 23 (8) |
| Social studies | 21 (3) |
| Business education | 19 (3) |
| Foreign language | 11 (7) |
| Multicultural awareness | 4 (2) |
| | 47 (0)* |
| Health | 9 (11) |
| Arts/music | 8 (2) |
| Physical education | 5 (2) |
| ESL/bilingual | 4 (1) |
| | 17 (7)** |

---

[*] Percentage based on districts implementing a desegregation plan in the last 5 years and using Chapter 2 for curriculum development.

[**] Percentage based on districts with Hispanic student populations, to indicate one type of district likely to have limited-English-proficient (LEP) students. (We had no measure for other types of LEP subgroups.) This percentage decreases, however, as the concentration of Hispanic students increases; only 2% of the districts with student populations that are more than 20% Hispanic develop curricula in the ESL/bilingual area.

Table A-VI-4

## PURPOSES AND CURRICULAR AREAS FOR CHAPTER 2-SUPPORTED STAFF DEVELOPMENT ACTIVITY

(Standard error values are in parentheses)

| Among districts using 1984-85 chapter 2 funds for staff development, percentage that supported each purpose or curricular area | | | |
|---|---|---|---|
| Purposes of staff development activity | | Curricular areas | |
| Teaching techniques | 77 (3) | Reading/writing/ language | 64 (4) |
| Instructional leadership | 46 (6) | Computer literacy | 41 (8) |
| Subject areas | 40 (3) | Mathematics | 40 (9) |
| General administration | 26 (10) | Basic skills | 36 (8) |
| Needs of special populations | 24 (8) | Social studies/history | 30 (3) |
| Discipline and safety | 22 (8) | Science | 29 (3) |
| Interpersonal skills | 20 (4) | Physical ed. | 13 (3) |
| Intergroup relations | 10 (3) | Health | 12 (5) |
| Student problem areas | 9 (3) | Foreign language | 12 (2) |
| | | Voc./career ed. | 11 (3) |
| | | Arts/music | 11 (8) |
| | | Business ed. | 10 (3) |
| | | ESL/bilingual | 6 (3)<br>11 (5)* |
| | | Multicultural awareness | 4 (3)<br>43 (20)** |
| (N = 4,138) | | (N = 4,080) | |

---

[*] Percentage based on districts with Hispanic student populations, to indicate one type of district likely to have limited-English-proficient (LEP) students. (We had no measure for other types of LEP subgroups.)

[**] Percentage based on districts implementing a desegregation plan in the last 5 years and using Chapter 2 for staff development.

Table A-VI-5

## TYPES AND LEVELS OF PARTICIPANTS IN CHAPTER 2-SUPPORTED STAFF DEVELOPMENT

(Standard error values are in parentheses)

| Percentage of districts using 1984-85 Chapter 2 fund for staff development that involved staff of each type of level | | | |
|---|---|---|---|
| Type of staff | | Level of participants | |
| Classroom teachers | 95 (2) | Upper elem. (4-6) | 83 (4) |
| Principals | 51 (7) | Primary (1-3) | 82 (4) |
| Specialist teachers | 41 (7) | Jr. high/middle | 76 (5) |
| Other district-level staff or administrators | 32 (6) | Sr. high | 64 (7) |
| | | Kindergarten | 62 (5) |
| Superintendent | 26 (6) | Dist. central office | 35 (8) |
| Classroom aides | 23 (5) | Preschool | 15 (7) |
| Other service providers | 12 (4) | | |
| Teacher trainees (preservice) | 1 (0) | | |
| (N = 4.160) | | (N = 4,352) | |

## Table A-VI-6

## CHAPTER 2 SUPPORT FOR TEACHER RETRAINING

(Standard error values are in parentheses)

| District Size (Enrollment) | Among districts in each size category using Chapter 2 funds for staff development, the percentage that support retraining in... | | | | |
|---|---|---|---|---|---|
| | Computer literacy applications | Math or science | Special education | ESL/bilingual | No retraining |
| Very large (25,000 or more) (N = 122) | 17 (4) | 16 (3) | 5 (2) | 1 (1)<br>0* (0) | 68 (5) |
| Urban (N = 70) | 10 (7) | 13 (4) | 0 (0) | 2 (2)<br>0* (0) | 75 (7) |
| Suburban (N = 151) | 26 (7) | 19 (6) | 11 (6) | 0 (0)<br>0* (0) | 58 (7) |
| Large (10,000 to 24,999) (N = 276) | 34 (7) | 25 (7) | 10 (5) | 7 (5)<br>15* (10) | 53 (8) |
| Medium (2,500 to 9,999) (N = 1,005) | 36 (5) | 17 (4) | 5 (2) | 5 (2)<br>14* (5) | 54 (5) |
| Small (600 to 2,499) (N = 147) | 45 (9) | 16 (7) | 5 (4) | 0 (0)<br>0* (0) | 44 (9) |
| Very small (under 600) (N = 1,116) | 13 (18) | 4 (3) | 2 (1) | 0 (0)<br>0* (0) | 77 (19) |
| All districts (N = 4,002) | 32 (6) | 14 (3) | 5 (2) | 2 (1)<br>5* (2) | 57 (6) |

---

*Percentage based on districts with Hispanic student populations, to indicate one type of district likely to have limited-English-proficient (LEP) students. (We had no measure for other types of LEP subgroups.) This percentage decreases, however, as the concentration of Hispanic students increases; only 2% of the districts with student populations that are more than 20% Hispanic develop curricula in the ESL/bilingual area.

## Table A-VII-1

## BLOCK GRANT SUPPORT FOR INSTRUCTIONAL OR STUDENT SUPPORT SERVICES, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| | Percentage of districts in each size category that put 1984-85 Chapter 2 funds into ... | |
|---|---|---|
| District Size (enfollment) | Instructional services | Student support services |
| Very large<br>(25,000 or more)<br>(N = 162/162) | 54 (2) | 52 (2) |
| Urban<br>(N = 92/92) | 62 (2) | 54 (3) |
| Suburban<br>(N = 70/70) | 44 (3) | 49 (3) |
| Large<br>(10,000 to 24,999)<br>(N = 471/470) | 36 (4) | 42 (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,987/2,994) | 25 (2) | 22 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,252/5,255) | 12 (2) | 17 (3) |
| Very small<br>(under 600)<br>(N = 6,412/6,506) | 13 (4) | 7 (3) |
| All districts<br>(N = 15,284/15,386) | 16 (2) | 15 (1) |

Table A-VII-2

## AVERAGE AMOUNT AND PROPORTION OF A DISTRICT'S BLOCK GRANT FUNDS ALLOCATED TO INSTRUCTIONAL OR STUDENT SUPPORT SERVICES, BY DISTRICT SIZE

(Standard error values are in parentheses)

| | Average (median) 1984-85 Chapter 2 funds* districts in each size category allocate to... | | | |
|---|---|---|---|---|
| | Instructional Services | | Student Support Services | |
| District size (enrollment) | Amount | Proportion | Amount | Proportion |
| Very large<br>(25,000 or more)<br>(N = 67/67/67/68) | $118,432 | 25% | $111,965 | 20% |
| Urban<br>(N = 45/45/40/40) | 137,044 | 25 | 112,149 | 25 |
| Suburban<br>(N = 22/22/27/28) | 75,179 | 20 | 48,267 | 15 |
| Large<br>(10,000 to 24,999)<br>(N = 123/124/145/145) | 13,520 | 14 | 13,114 | 10 |
| Medium<br>(2,500 to 9,999)<br>(N = 427/445/498/508) | 6,389 | 20 | 5,642 | 16 |
| Small<br>(600 to 2,499)<br>(N = 240/271/629/671) | 1,683 | 10 | 1,500 | 10 |
| Very small<br>(under 600)<br>(N = 485/485/253/276) | 444 | 10 | 1,447 | 28 |
| All districts<br>(N = 1,342/1,392/<br>1,592/1,668) | 2,233 | 10 | 2,417 | 15 |

---

*Median amounts and proportions exclude all cases putting $0.00 into each type of service.

Table A-VII-3

## CURRICULAR AREAS AND TARGET GROUPS INVOLVED IN CHAPTER 2-SUPPORTED INSTRUCTIONAL SERVICES

(Standard error values are in parentheses)

| Percentage of all districts using 1984-85 Chapter 2 funds for instructional services that focused the services on each curricular area or target group | | | |
|---|---|---|---|
| **Curricular area** | | **Target group** | |
| Basic skills | 65 (5) | Econ./educ. disadvantaged | 42 (14) |
| Reading | 62 (7) | Handicapped | 27 (14) |
| Math | 46 (14) | "Average" students | 26 (12) |
| Social studies/history | 22 (8) | Gifted and talented | 20 (3) |
| Science | 22 (7) | Limited English proficient | 15 (5)<br>29*(19) |
| Computer literacy | 19 (4) | Dropouts | 9 (2) |
| Voc./Career Ed. | 17 (13) | Desegregated students | 4 (1) |
| Arts/music | 14 (3) | | |
| ESL/bilingual | 9 (4)<br>18 (16) | | |
| Business education | 8 (3) | | |
| Health | 6 (3) | | |
| Physical education | 5 (2) | | |
| Multicultural awareness | 5 (1)**<br>45 (1) | | |
| Foreign language | 4 (3) | | |
| (N = 2,406) | | (N = 2,409) | |

---

[*] Percentage based on districts with Hispanic subpopulations, to demonstrate the incidence of this curricular emphasis in one type of district likely to serve limited-English-proficient students. This percentage increases with the concentration of Hispanic students: 38% of districts with more than 20% of their students Hispanic aimed Chapter 2 at LEP students.

[**] Percentage based on districts that have implemented a desegregation plan in the last 5 years and are using Chapter 2 funds for instructional services.

## Table A-VII-6

## TYPES OF SERVICE AND TARGET GROUPS INVOLVED IN CHAPTER 2-SUPPORTED STUDENT SUPPORT SERVICES

(Standard error values are in parentheses)

Among districts using 1984-85 Chapter 2 funds for student support services, the percentage that supported each type of service or focused the services on the different target groups

| Type of service | | Target group | |
|---|---|---|---|
| Guidance and counseling[*] | 62 (15) | All types | 82 (21) |
| Testing or assessment | 45 (13) | Econ./educ. disadvantaged | 25 (4) |
| Intergroup relations | 13 (3) | Gifted and talented | 23 (21) |
| Dropout prevention | 13 (1) | "Average" students | 20 (3) |
| Drug abuse prevention | 7 (1) | Dropouts | 19 (2) |
| | | Handicapped | 19 (3) |
| | | Limited English proficient | 8 (3)<br>20 (14)[**] |
| | | Students undergoing desegregation | 5 (2)<br>49 (14) |
| (N = 2,502) | | (N = 2,394) | |

---

[*] Other than counseling related to improving intergroup relations, dropout prevention, or drug abuse prevention.

[**] Percentage based on districts with Hispanic subpopulations, to demonstrate the incidence of this curricular emphasis in one type of district likely to serve limited-English-proficient students.

[+] Percentage based on districts that have implemented a desegregation plan in the last 5 years and are using Chapter 2 funds for student support services.

## Table A-VIII-1

## DESEGREGATING DISTRICTS, BY SIZE OF DISTRICT

(Standard error values are in parentheses in column b)

| District Size (Enrollment) | Percentage of districts in each size category... | | | |
|---|---|---|---|---|
| | Undergoing desegregation* (proportion of students+) | | Desegregating in response to court or agency mandate** (proportion of students+) | |
| | a | b | a | b |
| Very large<br>(25,000 or more)<br>(N = 152/144) | 74 (17$^+$) | (3) | 39 (11$^+$) | (3) |
| Urban<br>(N = 86/81) | 88 (12) | (3) | 54 (9) | (4) |
| Suburban<br>(N = 66/63) | 55 (5) | (5) | 16 (2) | (5) |
| Large<br>(10,000 to 24,999)<br>(N = 440/410) | 34 (6) | (4) | 12 (2) | (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,817/2,676) | 23 (8) | (2) | 3 (1) | (1) |
| Small<br>(600 to 2,499)<br>(N = 4,845/4,689) | 15 (3) | (3) | 1 (0.3) | (1) |
| Very small<br>(under 600)<br>(N = 5,752/5,398) | 15 (0.6) | (6) | 0 (0.0) | (2) |
| All districts<br>(N = 14,004/13,316) | 18 (35) | (3) | 2 (14) | (++) |

---

[*] Defined as "implementing a plan to desegregate or reduce racial isolation in schools within the past 5 years."

[**] The districts in this column are a subset of those in the first column; percentages, however, still refer to the total number of districts in each size category.

[+] Proportion of the total number of students nationwide.

[++] Between 0% and .5%.

## Table A-VIII-2

## ESAA AND CHAPTER 2 SUPPORT FOR DESEGREGATION-RELATED ACTIVITIES BY SIZE OF DISTRICT

(Standard error values are in parentheses in column b)

| District Size (Enrollment) | Percentage of districts undergoing desegregation* that funded desegregation-related activities with... | | | |
|---|---|---|---|---|
| | (a) ESAA funds in 1981-82 (proportion of nation's students) | | (b) Chapter 2 funds in 1984-85 (proportion of nation's students) | |
| | a | b | a | b |
| Very large (25,000 or more) (N = 111/110) | 66 (13.5**) | (4) | 64 (10.5**) | (4) |
| Urban (N = 75/75) | 70 (10.5) | (4) | 73 (7.5) | (4) |
| Suburban (N = 36/34) | 57 (3.0) | (7) | 43 (3.0) | (8) |
| Large (10,000 to 24,999) (N = 147/150) | 26 (1.5) | (4) | 39 (3.0) | (6) |
| Medium (2,500 to 9,999) (N = 630/604) | 24 (3.0) | (3) | 33 (3.0) | (6) |
| Small (600 to 2,499) (N = 730/730) | 6 (0.2) | (2) | 18 (0.5) | (2) |
| Very small (under 600) (N = 735/537) | 0.0 (0.0) | (0) | 29 (0.1) | (0) |
| All districts (N = 2,355/2,132) | 13 (18.2) | (1) | 29 (17.1) | (2) |

---

[*] Defined as "implementing a plan to desegregate schools or reduce racial isolation in schools within the past 5 years."

[**] Proportion of the total student population nationwide.

## Table A-VIII-3

## PROPORTION OF FORMER ESAA DISTRICTS OPTING TO USE BLOCK GRANT FUNDS FOR DESEGREGATION-RELATED PURPOSES, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts that had received ESAA funds in 1981-82 and opted to use Chapter 2 funds for desegregation-related purposes |
|---|---|
| Very large<br>(25,000 or more)<br>(N = 74) | 77 (5) |
| Urban<br>(N = 52) | 82 (6) |
| Suburban<br>(N = 21) | 64 (5) |
| Large<br>(10,000 to 24,999)<br>(N = 38) | 73 (11) |
| Medium<br>(2,500 to 9,999)<br>(N = 150) | 59 (7) |
| Small<br>(600 to 2,499)<br>(N = 42) | 67 (7) |
| Very small<br>(under 600)<br>(N = 0) | 0 (0) |
| All districts<br>(N = 304) | 66 (4) |

## Table A-VIII-4

## WHAT CHAPTER 2 SUPPORTS IN DISTRICTS THAT USED THE BLOCK GRANT FOR DESEGREGATION-RELATED ACTIVITIES

| Among districts using Chapter 2 funds for desegregation, percentage that indicated... | | | |
|---|---|---|---|
| Activity was explicitly aimed at students (or staff) undergoing desegregation* | | Chapter 2-supported desegregation efforts included the following: | |
| Instructional services<br>N = 258 | 57** (1) | Compensatory instruction | 38** (3) |
| Student support services<br>N = 309 | 49 (14) | Teacher training/support | 31 (15) |
| Staff development<br>N = 616 | 31 (15) | Community liaison | 15 (2) |
| Computer applications<br>N = 759 | 22 (18) | Dropout prevention | 15 (3) |
| Curriculum/new-program development<br>N = 537 | 20 (2) | Magnet schools | 14 (3) |
| | | Discipline/school safety | 12 (3) |
| | | Human relations/ counseling | 11 (2) |
| | | Planning/monitoring | 9 (1) |
| | | (N = 616) | |

---

[*] We exclude our sixth major activity category--support for libraries and media centers--because it rarely bore any direct relationship to desegregation goals. For each of the five activity areas above, mail survey respondents could indicate whether the activity was specifically aimed at students or staff undergoing desegregation, among other target groups.

[**] The percentages in each column should be interpreted as follows: "57% of the districts using Chapter 2 funds for desegregation assistance supported instructional services explicitly aimed at students undergoing desegregation," etc.

Table A-VIII-6

PROBLEMS EXPERIENCED UNDER THE BLOCK GRANT,
FOR ALL (AND SUBSETS OF) DESEGREGATING DISTRICTS

(Standard error values are in parentheses)

| Types of Problems Experienced Under the Block Grant | Percentage of districts reporting each type of problem experienced under the block grant, for... | | | |
|---|---|---|---|---|
| | All districts undergoing desegregation | Districts desegregating under court order | Districts formerly receiving ESAA funds | Very large urban district undergoing desegregation |
| a. General problems attributed to Chapter 2 | N = 2,145 | N = 246 | N = 897 | N =74 |
| None | 75 (2) | 52 (1) | 21 (4) | 17 (3) |
| Fewer funds than under antecedent programs | 13 (1) | 28 (1) | 66 (4) | 67 (5) |
| Lost staff | 5 (1) | 15 (3) | 32 (3) | 46 (6) |
| Can't provide as many services | 8 (1) | 19 (3) | 42 (3) | 49 (6) |
| Has to provide more funds for private school students | 4 (1) | 11 (1) | 23 (1) | 44 (6) |
| b. Problems specific to desegregation efforts | N = 2,142 | N = 262 | N = 276 | N = 74 |
| None | 78 (2) | 66 (15) | 29 (5) | 29 (6) |
| Elimination of desegregation-related activities | 8 * | 4 * | 14 (3) | 10 (1) |
| Reduction of desegregation-related activities | 7 (1) | 14 (3) | 46 (7) | 37 (6) |
| Required LEA to seek other funding sources to maintain desegregation program | 4 (1) | 11 (3) | 30 (7) | 36 (5) |
| c. Other effects on desegregation efforts | | | | |
| Helped LEA to initiate or expand desegregation efforts | 5 (2) | 14 (15) | 7 (5) | 9 (3) |

## Table A-IX-1

## USE OF CHAPTER 2 FUNDS TO START NEW PROGRAMS, AS SEED MONEY AND TO FUND MINIGRANTS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Allows districts to start new programs | Are viewed as seed money | Are used for minigrant programs |
|---|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 161/161*) | 67 (2) | 47 (2) | 15 (3) |
| Urban<br>(N = 90/92) | 59 (3) | 45 (3) | 17 (3) |
| Suburban<br>(N = 71/69) | 77 (3) | 49 (3) | 13 (4) |
| Large<br>(10,000 to 24,999)<br>(N = 459/454) | 77 (3) | 44 (4) | 13 (4) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,961/2,776) | 60 (2) | 37 (2) | 3 (1) |
| Small<br>(600 to 2,499)<br>(N = 5,064/4,786) | 66 (3) | 35 (3) | 4 (2) |
| Very small<br>(under 600)<br>(N = 6,015/6,632) | 44 (3) | 16 (4) | 2 (2) |
| All districts<br>(N = 14,661/14,809) | 56 (2) | 28 (2) | 3 (1) |

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[*] The first figure is for columns 1 & 2;
The second figure is for columsn 3.

## Table A-IX-2

## CHANGE OVER TIME IN THE NUMBER OF ACTIVITY CATEGORIES SUPPORTED

(Standard error values are in parentheses)

| School Year | Percentage of districts allocating block grant funds to... 2 or more of the 6 major activity categories* | 4 or more |
|---|---|---|
| Under antecedent programs | | |
| 1981-82<br>(N = 12,369) | 41 (4) | 7 (1) |
| Under Chapter 2 | | |
| 1982-83<br>(N = 13,062) | 48 (2) | 10 (1) |
| 1983-84<br>(N = 14,014) | 51 (4) | 11 (1) |
| 1984-85<br>(N = 15,457) | 69 (3) | 18 (1) |

---

[*] As discussed in Sections III-VII: computer applications, library and media center support, curriculum development, staff development, instructional services, student support services.

## Table X-1

## OTHER ADMINISTRATIVE RESPONSIBILITIES OF CHAPTER 2 COORDINATORS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Average (mean) areas of responsibility besides Chapter 2* | Percentage of districts in which Chapter 2 coordinator is also responsible for... | | | | |
|---|---|---|---|---|---|---|
| | | Chapter 1, other federal programs | Staff development | Administration of regular inst. program | Libraries, media centers | Business; district budget |
| **Very large** (25,000 or more) (N = 161) | 1.8 (.04) | 67 (2) | 9 (1) | 15 (1) | 11 (1) | 3 (1) |
| Urban (N = 91) | 1.7 (.06) | 72 (3) | 7 (1) | 12 (1) | 8 (1) | 3 (1) |
| Suburban (N = 70) | 1.9 (.07) | 62 (3) | 12 (2) | 19 (3) | 14 (2) | 3 (1) |
| **Large** (10,000 to 24,999) (N = 464) | 2.3 (.08) | 66 (4) | 30 (4) | 25 (3) | 26 (3) | 3 (1) |
| **Medium** (2,500 to 9,999) (N = 2,993) | 3.0 (.06) | 76 (2) | 49 (2) | 51 (2) | 35 (2) | 9 (1) |
| **Small** (600 to 2,499) (N = 5,322) | 3.0 (.11) | 66 (3) | 49 (4) | 57 (4) | 24 (3) | 30 (3) |
| **Very small** (less than 600) (N = 6,517) | 3.2 (.22) | 59 (6) | 48 (6) | 59 (5) | 34 (5) | 51 (6) |
| **All districts** (N = 15,457) | 3.1 (.10) | 65 (3) | 47 (3) | 55 (3) | 30 (2) | 33 (3) |

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*Out of 7 possible categories.

Table X-2

## DEGREE OF BURDEN ASSOCIATED WITH PARTICULAR ADMINISTRATIVE TASKS UNDER THE BLOCK GRANT, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| | Percentage of districts indicating that the following tasks were "somewhat" or "very burdensome" under Chapter 2: | | | | | | | | |
|---|---|---|---|---|---|---|---|---|---|
| District Size (Enrollment) | Planning for programs/ purchases | Performing needs assessments | Applying for funds | Supervising programs/ purchases | Accounting for expenditures | Reporting to state agencies | Evaluating the use of funds | Administering private school services | Consultation with parents |
| Very large<br>(25,000 or more)<br>(N = 158/132) | 32 (4) | 34 (4) | 23 (3) | 44 (4) | 45 (4) | 27 (4) | 35 (4) | 60* (4) | 28 (4) |
| Urban<br>(N = 84/68) | 33 (6) | 36 (6) | 25 (5) | 46 (5) | 48 (5) | 32 (5) | 29 (5) | 66* (6) | 23 (5) |
| Suburban<br>(N = 74/64) | 31 (4) | 31 (6) | 20 (4) | 42 (4) | 42 (4) | 22 (4) | 42 (4) | 54* (7) | 34 (5) |
| Large<br>(10,000 to 24,999)<br>(N = 471/344) | 40 (5) | 35 (5) | 19 (4) | 47 (5) | 42 (5) | 24 (4) | 37 (5) | 44* (5) | 31 (4) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,946/1,318) | 23 (2) | 34 (3) | 20 (2) | 25 (2) | 31 (2) | 30 (2) | 34 (3) | 40* (4) | 26 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,120/1,230) | 22 (4) | 39 (4) | 18 (3) | 29 (4) | 34 (4) | 36 (4) | 34 (4) | 39* (8) | 24 (4) |
| Very small<br>(less than 600)<br>(N = 5,908/4,021) | 15 (6) | 35 (7) | 13 (4) | 11 (5) | 8 (3) | 22 (6) | 21 (6) | 32* (27) | 26 (6) |
| All districts<br>(N = 14,603/3,426) | 20 (3) | 36 (3) | 17 (2) | 22 (2) | 23 (2) | 29 (3) | 29 (3) | 40* (12) | 25 (3) |

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* Percentage of those districts with participating private schools only.

Table A-X-3

## ADMINISTRATIVE COSTS COVERED BY BLOCK GRANT FUNDS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts with administrative costs charged to block grant* | Median** amount of funds for administrative costs** | Administrative salaries | Mean percentage** of district's total allocation for indirect costs |
|---|---|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 157/118/79/101) | 76 (2) | $34,851% | 13 (2) | 4 + |
| Urban<br>(N = 87/74/49/66) | 85 (2) | 33,311 | 12 (2) | 3 + |
| Suburban<br>(N = 69/44/30/35) | 63 (3) | 44,570 | 13 (2) | 4 + |
| Large<br>(10,000 to 24,999)<br>(N = 452/251/64/235) | 56 (4) | 3,141 | 18 (6) | 3 + |
| Medium<br>(2,500 to 9,999)<br>(N = 2,823/480/135/414) | 17 (2) | 1,574 | 36 (8) | 4 (1) |
| Small<br>(less than 600)<br>(N = 4,895/257/186/586) | 15 (3) | 588 | 30 (14) | 5 (1) |
| Very small<br>(under than 600)<br>(N = 6,284/257/141/116) | 4 (2) | 100 | 7 * | 9 (1) |
| All districts<br>(N = 14,610/1,856/605/1,451) | 13 (1) | 950 | 22 (5) | 4 + |

---

[*] Defined as administrators' salaries, if any, and indirect administrative expenses.

[**] Median amount and mean percentage based only on those districts that did put Chapter 2 funds into administration (for column 1 and 2), into administrative salaries (column 3), and indirect costs (column 4).

[+] Between 0 & .5%

[++] 1st figure for column 1.
2nd figure for column 2.

## Table A-X-4

## OVERALL LEVEL OF ADMINISTRATIVE BURDEN DISTRICTS EXPERIENCE UNDER THE BLOCK GRANT, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts above midpoint on the "burdensome" scale* | Mean rating of burden across all administrative tasks** |
|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 154) | 27 (4) | 2.20 (.04) |
| Urban<br>(N = 84) | 31 (5) | 2.18 (.06) |
| Suburban<br>(N = 70) | 26 (4) | 2.22 (.05) |
| Large<br>(10,000 to 24,999)<br>(N = 470) | 32 (5) | 2.20 (.05) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,967) | 19 (2) | 2.07 (.03) |
| Small<br>(600 to 2,499)<br>(N = 5,175) | 18 (3) | 2.06 (.04) |
| Very small<br>(less than 600)<br>(N = 6,110) | 7 (4) | 1.71 (.07) |
| All districts<br>(N = 14,876) | 14 (2) | 1.92 (.04) |

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[*] Midpoint on the scale is 2.5; hence, in the districts falling into this column, the average rating across the nine administrative tasks was that the task was "somewhat" or "very" burdensome.

[**] Based on the nine tasks listed earlier in this section in "Local Administrative Tasks Under the Block Grant and the Load Associated with Them."

## TABLE A-X-5

## CHANGE IN ADMINISTRATIVE BURDEN FROM ANTECEDENT PROGRAMS TO THE BLOCK GRANT

(Standard error values are in parentheses)

| | Percentage of districts* reporting that burdens under Chapter 2 are... |
|---|---|
| ... Smaller | 58 (4) |
| ... The same | 37 (4) |
| ... Greater | 5 (1) |
| | 100% |
| | (N = 12,694) |

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[*] Excluding cases in which the respondent had no prior responsibility for antecedent programs.

Table A-XI-4

SCHOOL BOARD'S ROLE IN CHAPTER 2 DECISIONMAKING

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in which the school board... | | |
|---|---|---|---|
| | Debated the uses of Chapter 2 funds | Approved budgets for Chapter 2 programs/ purchases | Received information about Chapter 2 programs purchases |
| Very large<br>(25,000 or more)<br>(N = 162) | 18 (2) | 91 (2) | 85 (3) |
| Urban<br>(N = 91) | 18 (3) | 91 (3) | 86 (4) |
| Suburban<br>(N = 71) | 18 (2) | 91 (3) | 86 (6) |
| Large<br>(10,000 to 24,999)<br>(N = 449) | 13 (3) | 79 (4) | 94 (2) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,986) | 14 (2) | 76 (2) | 86 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,276) | 10 (3) | 64 (4) | 82 (3) |
| Very small<br>(under 600)<br>(N = 5,953) | 18 (6) | 63 (7) | 77 (7) |
| All districts<br>(N = 14,826) | 14 (3) | 67 (3) | 81 (3) |

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Table A-XII-1

## MECHANISMS FOR CONSULTING WITH PARENTS AND CITIZENS REGARDING CHAPTER 2 DECISIONMAKING

(Standard error values are in parentheses)

| Method of Consultation | Percentage of districts |
|---|---|
| | (N = 14,693) |
| School board meetings | 62 (4) |
| Existing advisory committee (created before Chapter 2) | 37 (3) |
| Consultation with individuals | 26 (3) |
| PTA meetings | 22 (3) |
| Chapter 2 advisory committee | 21 (3) |
| Parent or community survey | 9 (2) |
| Other consultation mechanism | 6 (2) |
| No consultation | 11 (2) |

## Table A-XII-2

## RELATIONSHIP BETWEEN NUMBER OF DIFFERENT CONSULTATION MECHANISMS AND PARENT OR CITIZEN INVOLVEMENT

(Standard error values are in parentheses)

| Number of different consultation methods used by the district to involve parents or citizens | Percentage of districts reporting ... | |
|---|---|---|
| | Parents not actively involved | Parents actively involved |
| 0 (1,662) | 100 (0) | 0 (0) |
| 1 - 2 (9,360) | 88 (2) | 12 (2) |
| 3 - 5 (3,961) | 75 (9) | 25 (9) |

---

[*] The questionnaire item permitted respondents to check as many of the following mechanisms as applied: community survey, Chapter 2 committee, PTA meetings, existing advisory committee, consultation with individuals, school board meetings, and other consultation.

[**] The degree of active involvement resulted from splitting a four-point scale at the midpoint.

## Table A-XII-3

## DEGREE TO WHICH PARENTS ARE ACTIVELY INVOLVED IN CHAPTER 2 DECISIONMAKING, BY DISTRICT SIZE

(Standard error values are in parentheses)

| Size of District (Enrollment) | Mean index of parent involvement* (values range from 0 to 9) | Percentage of districts reporting that parents are actively involved |
|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 163/157) | 1.9 (7) | 31 (4) |
| Urban<br>(N = 92/90) | 2.0 (7) | 25 (4) |
| Suburban<br>(N = 71/67) | 1.9 (13) | 40 (6) |
| Large<br>(10,000 to 24,999)<br>(N = 471/445) | 1.5 (12) | 16 (4) |
| Medium<br>(2,500 to 9,999)<br>(N = 3,022/2,928) | 1.6 (7) | 18 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,367/5,214) | 1.3 (11) | 15 (3) |
| Very small<br>(under 600)<br>(N = 6,517/5,911) | 1.0 (15) | 11 (5) |
| All districts<br>(N = 15,533/14,655) | 1.3 (7) | 14 (2) |

---

*Index of parent involvement summed and questionnaire items that indicated different ways in which parents or citizens could participate in Chapter 2-related matters. Maximum value was 9. See Blakely and Stearns, 1986.

Table A-XII-5

# COMMUNITY PREFERENCES AS A FACTOR INFLUENCING LOCAL USE OF CHAPTER 2 FUNDS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percent of districts reporting community preferences as a very important factor in Chapter 2 decisionmaking |
|---|---|
| Very large<br>(25,000 or more)<br>(N = 162) | 41 (2) |
| Urban<br>(N = 92) | 33 (2) |
| Suburban<br>(N = 70) | 50 (3) |
| Large<br>(10,000 to 24,999)<br>(N = 461) | 37 (4) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,954) | 36 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,204) | 28 (3) |
| Very small<br>(under 600)<br>(N = 5,989) | 23 (5) |
| All districts<br>(N = 14,771) | 28 (2) |

Table A-XIII-1

## EVALUATION OF ACTIVITIES SUPPORTED BY CHAPTER 2, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in each size category that evaluate their use of Chapter 2 funds by... | | | |
|---|---|---|---|---|
| | Gathering informal feedback on uses of the funds | Collecting simple statistics describing purchases or participants | Conducting formal evaluations of... | |
| | | | Some uses | All uses |
| Very large<br>(25,000 or more)<br>(N = 162) | 78 (4) | 70 (4) | 48 (3) | 24 (3) |
| Urban<br>(N = 86) | 69 (5) | 67 (5) | 57 (5) | 23 (5) |
| Suburban<br>(N = 70) | 88 (3) | 74 (6) | 38 (6) | 24 (5) |
| Large<br>(10,000 to 24,999)<br>(N = 465) | 79 (4) | 62 (4) | 41 (5) | 19 (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,960) | 86 (2) | 60 (3) | 34 (3) | 13 (2) |
| Small<br>(600 to 2,499)<br>(N = 5,190) | 88 (3) | 47 (4) | 23 (4) | 8 (2) |
| Very small<br>(under 600)<br>(N = 5,910) | 91 (3) | 26 (7) | 5 (2) | 9 (4) |
| All districts<br>(N = 14,682) | 88 (2) | 42 (3) | 19 (2) | 10 (2) |

Table A-XIII-2

## AUDIENCES FOR LOCAL EVALUATION OF CHAPTER 2-SUPPORTED ACTIVITIES

(Standard error values are in parentheses)

| | Percentage indicating that each audience has expressed an interest in Chapter 2 evaluations for... | | |
|---|---|---|---|
| Audiences | All districts | Districts that collect simple statistics on uses of funds | Districts that do formal evaluations of all uses of funds |
| District Level | N = 13,778 | N = 8,790 | N = 1,371 |
| School board | 30 (4) | 37 (5) | 43 (7) |
| Superintendent | 44 (3) | 48 (3) | 68 (4) |
| Other district administrators | 20 (2) | 24 (3) | 27 (17) |
| School Level | | | |
| Principals | 26 (3) | 31 (3) | 37 (17) |
| Teachers | 27 (4) | 27 (6) | 36 (17) |
| Community | | | |
| Parents | 11 (3) | 17 (5) | 28 (6) |
| Other community members | 3 (2) | 2 (1) | 7 (7) |
| Other | | | |
| State department of education | 44 (3) | 50 (3) | 65 (1) |
| Private school officials | 2 (1) | 2 * | 2 (1) |
| Others | 2 (1) | 4 (1) | 2 (1) |
| Nobody has expressed interest in evaluation | 25 (4) | 18 (5) | 12 (1) |

---

* Between 0% & .5%

## Table A-XIII-3

## USE OF CHAPTER 2 FUNDS FOR EVALUATION, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in each size category that use some of their 1984-85 Chapter 2 funds to support evaluation activities* |
|---|---|
| Very large<br>(25,000 or more)<br>(N = 162) | 2% (4) |
| Urban<br>(N = 92) | 29 (4) |
| Suburban<br>(N = 70) | 22 (5) |
| Large<br>(10,000 to 24,999)<br>(N = 454) | 7 (2) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,776) | 2 (1) |
| Small<br>(600 to 2,499)<br>(N = 4,786) | 1(**) |
| Very small<br>(under 600)<br>(N = 6,432) | **(**) |
| All districts<br>(N = 14,610) | 1(**) |

---

[*] Not necessarily used solely for evaluation of Chapter 2 activities.

[**] Less than 1%.

Table A-XIV-1

## DISTRICTS SERVING PRIVATE SCHOOL STUDENTS IN ACTIVITIES SUPPORTED BY CHAPTER 2, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| | Percentage of districts serving private school students in the 1984-85 school year among... | |
|---|---|---|
| District Size (Enrollment) | Districts with eligible private schools* | All districts nationwide (with enrollment of 600 or more) |
| Very large<br>(25,000 or more)<br>(N = 137/153) | 95 (2) | 87 (3) |
| Urban<br>(N = 69/83) | 98 (2) | 90 (4) |
| Suburban<br>(N = 68/70) | 92 (4) | 89 (4) |
| Large<br>(10,000 to 24,999)<br>(N = 406/465) | 86 (4) | 75 (4) |
| Medium<br>(2,500 to 9,999)<br>(N = 1,633/2,827) | 79 (3) | 47 (3) |
| Small<br>(600 to 2,499)<br>(N = 1,828/4,885) | 67 (7) | 26 (4) |
| All districts<br>(600 or more)**<br>(N = 4004/8,330) | 75 (4) | 37 (2) |

---

*In which the private school student component is administered at the district level.

**All analyses of services to private school students reported in this study are done with districts enrolling 600 or more students because of the unreliability of estimates based on the small number of responding districts in this size category. Of a total of 15,533 districts, 6,508 (41.9%) are thus excluded from analysis; these comprise 3.8% of the nation's students. See Cooperstein (1986) for details.

Table A-XIV-2

## AVERAGE NUMBER OF PRIVATE SCHOOLS AND PRIVATE SCHOOL STUDENTS ELIGIBLE FOR, AND PARTICIPATING IN, CHAPTER 2, BY SIZE OF DISTRICT

| District Size (Enrollment) | Median number of private schools per district ... | | Median number of private school students per district participating in Chapter 2 in 1983-84**,+ |
|---|---|---|---|
| | Eligible for Chapter 2-supported activities in 1984-85* | With students participating in Chapter 2-supported activities in 1984-85** | |
| Very large<br>(25,000 or more)<br>(N = 128/133/107) | 19 | 12 | 3,143 |
| Urban<br>(N = 64/69/57) | 29 | 17 | 4,164 |
| Suburban<br>(N = 64/64/50) | 15 | 7 | 2,596 |
| Large<br>(10,000 to 24,999)<br>(N = 388/350/270) | 5 | 4 | 1,097 |
| Medium<br>(2,500 to 9,999)<br>(N = 1,550/1,334/957) | 2 | 2 | 338 |
| Small<br>(600 to 2,499)<br>(N = 1,842/1,230/870) | 1 | 1 | 199 |
| All districts<br>(600 or more)<br>(N = 3,908/3,047/2,204) | 2 | 2 | 350 |

---

[*] Among districts with one or more eligible private schools, and in which the private school student component is administered at the district level.

[**] Among districts with one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

[+] Because of the constraints of the data gathered, this number could be estimated only for those districts (94%) reporting that they spent an equal amount for services to public and private school students under Chapter 2 (see Appendix A for details).

## Table A-XIV-3

## CHANGE IN NUMBERS OF PRIVATE SCHOOLS WITH STUDENTS PARTICIPATING IN ANTECEDENT PROGRAMS COMPARED WITH CHAPTER 2, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts* in which the number of private schools with students participating in Chapter 2 during the 1984-85 school year (compared with the antecedents) is... | | |
|---|---|---|---|
| | Greater | The same | Less |
| Very large<br>(25,000 or more)<br>(N = 125) | 48 (4) | 43 (4) | 9 (3) |
| Urban<br>(N = 63) | 59 (5) | 38 (5) | 3 (2) |
| Suburban<br>(N = 62) | 37 (5) | 48 (6) | 15 (5) |
| Large<br>(10,000 to 24,999)<br>(N = 378) | 27 (5) | 68 (5) | 5 (2) |
| Medium<br>(2,500 to 9,999)<br>(N = 1,563) | 18 (3) | 79 (3) | 3 (1) |
| Small<br>(600 to 2,499)<br>(N = 1,827) | 13 (5) | 87 (5) | 0 (0) |
| All districts<br>(600 or more)<br>(N = 3,893) | 18 (3) | 80 (3) | 2 ** |

---

* Among districts with one or more eligible private schools, and in which the private school student component is administered at the district level.

** Between 0% and .5%

### Table A-XV-1

### AVERAGE AMOUNT OF CHAPTER 2 FUNDS (AND PROPORTION OF DISTRICT'S CHAPTER 2 ALLOCATION) AVAILABLE FOR SERVICES TO PRIVATE SCHOOL STUDENTS IN THE 1984-85 SCHOOL YEAR, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Median amount available from district's allocation* | Mean percentage of district's Chapter 2 allocation* | Median amount of Chapter 2 funds available per private school* |
|---|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 129/124) | $28,908 | 9 ** | $2,224 |
| Urban<br>(N = 69/66) | 42,851 | 11 (1) | 2,289 |
| Suburban<br>(N = 60/58) | 18,312 | 7 (1) | 2,041 |
| Large<br>(10,000 to 24,999)<br>(N = 339/336) | 7,500 | 8 (1) | 1,948 |
| Medium<br>(2,500 to 9,999)<br>(N = 1,222/1,222) | 2,801 | 11 (1) | 1,442 |
| Small<br>(600 to 2,499)<br>(N = 1,146/1,146) | 1,423 | 19 (3) | 879 |
| All districts<br>(600 or more)<br>(N = 2,836/2,828) | 2,576 | 14 (2) | 1,272 |

---

[*] Among districts having one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

[**] Between 0% & .5%.

Table A-XV-2

## COMPARISON OF PER PUPIL EXPENDITURES FOR SERVICES TO PUBLIC AND PRIVATE SCHOOL STUDENTS UNDER CHAPTER 2, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts* in which the per pupil expenditures for services to public and private school students in the 1984-85 school year are... | | |
|---|---|---|---|
| | Equal | Greater for public school students | Greater for private school students |
| Very large<br>(25,000 or more)<br>(N = 133) | 88 (3) | 8 (2) | 4 (2) |
| Urban<br>(N = 68) | 87 (5) | 11 (4) | 2 (3) |
| Suburban<br>(N = 65) | 89 (3) | 6 (2) | 6 (2) |
| Large<br>(10,000 to 24,999)<br>(N = 329) | 92 (3) | 4 (2) | 4 (2) |
| Medium<br>(2,500 to 9,999)<br>(N = 1,206) | 92 (3) | 6 (2) | 2 (1) |
| Small<br>(600 to 2,499)<br>(N = 972) | 99 (1) | 1 (1) | 0 (0) |
| All districts<br>(600 or more)<br>(N = 2,640) | 94 (1) | 4 (1) | 1 ** |

---

[*] In districts having one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

[**] Between 0 & .5%.

Table A-XV-4

### CHANGE IN PROPORTION OF FUNDS AVAILABLE TO SERVE STUDENTS IN PRIVATE SCHOOLS, FROM ANTECEDENT PROGRAMS TO CHAPTER 2 (1984-85 SCHOOL YEAR), BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts* in which the proportion of funds available to serve students in private schools: Increased | Stayed the same | Decreased |
|---|---|---|---|
| Very large<br>(25,000 or more)<br>(N = 116) | 57 (5) | 43 (5) | 0 (0) |
| Urban<br>(N = 63) | 70 (7) | 30 (7) | 0 (0) |
| Suburban<br>(N = 53) | 42 (8) | 58 (8) | 0 (0) |
| Large<br>(10,000 to 24,999)<br>(N = 336) | 33 (6) | 64 (6) | 2 (1) |
| Medium<br>(2,500 to 9,999)<br>(N = 1,241) | 25 (4) | 70 (4) | 5 (2) |
| Small<br>(600 to 2,499)<br>(N = 1,441) | 23 (6) | 75 (6) | 2 (1) |
| All districts<br>(600 or more)<br>(N = 3,134) | 26 (4) | 71 (4) | 3 (1) |

---

*Among districts with one or more eligible private schools, and in which the private school student component is administered at the district level.

Table A-XV-5

## CHAPTER 2 SERVICES TO PRIVATE SCHOOL STUDENTS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts* in which each activity has been supported by Chapter 2 funds in the last 3 years for private school students: | | | | | |
|---|---|---|---|---|---|---|
| | Computer applications | Library/ media center support | Curriculum or new-program development | Staff development | Instructional services | Student support services |
| Very large (25,000 or more) (N = 136) | 84 (3) | 100 (0) | 22 (4) | 30 (3) | 16 (3) | 6 (2) |
| Urban (N = 71) | 85 (5) | 100 (0) | 23 (5) | 39 (5) | 15 (4) | 5 (3) |
| Suburban (N = 65) | 80 (6) | 100 (0) | 17 (4) | 11 (3) | 20 (5) | 9 (5) |
| Large (10,000 to 24,999) (N = 336) | 83 (4) | 95 (2) | 21 (4) | 16 (4) | 12 (4) | 10 (3) |
| Medium (2,500 to 9,999) (N = 1,324) | 64 (4) | 91 (3) | 20 (4) | 14 (3) | 9 (3) | 7 (2) |
| Small (600 to 2,499) (N = 1,197) | 66 (8) | 91 (4) | 24 (10) | 6 (3) | 6 (7) | 4 (3) |
| All districts (600 or more) (N = 2,993) | 68 (5) | 92 (2) | 22 (5) | 11 (2) | 9 (4) | 6 (2) |

---

*Among districts with one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

Table A-XV-6

## COMPARISON OF SERVICES TO PUBLIC AND PRIVATE SCHOOL STUDENTS

(Standard error values are in parentheses)

| Type of Activity | Percentage of districts* in which this activity is supported by Chapter 2 funds for: Public school students | Private school students |
|---|---|---|
| Computer applications | 88 (2) | 68 (5) |
| Library and media center support | 80 (5) | 92 (2) |
| Curriculum or new-program development | 37 (5) | 22 (5) |
| Student support services | 24 (4) | 9 (4) |
| Instructional services | 24 (3) | 6 (2) |
| Staff development | 39 (3) | 11 (2) |
| | (N = 3,035) | (N = 2,990) |

---

[*] Percentage of districts with enrollment of at least 600, with participating private schools, and in which the private school component is handled at the district level.

## Table A-XVI-1

## PROBLEMS DISTRICTS ENCOUNTER ADMINISTERING SERVICES FOR PRIVATE SCHOOL STUDENTS, BY SIZE OF DISTRICT

(Standard error tables are in parentheses)

| | Percentage of districts encountering problems with respect to... | | | | |
|---|---|---|---|---|---|
| District Size (Enrollment) | Notification/ consultation* | Paperwork | Monitoring | Unreimbursed administrative cost** | Percentage of districts encountering no problem with the private school student component* |
| **Very large**<br>(25,000 or more)<br>(N = 142*/136**) | 33 (4) | 48 (4) | 29 (4) | 22 (4) | 30 (4) |
| Urban<br>(N = 72/71) | 35 (6) | 58 (5) | 27 (6) | 22 (5) | 20 (5) |
| Suburban<br>(N = 70/65) | 32 (6) | 38 (6) | 31 (7) | 24 (5) | 43 (5) |
| **Large**<br>(20,000 to 24,999)<br>(N = 408/340) | 39 (5) | 38 (5) | 30 (5) | 25 (5) | 36 (4) |
| **Medium**<br>(2,500 to 9,999)<br>(N = 1,627/1,303) | 25 (3) | 24 (3) | 14 (3) | 16 (3) | 57 (4) |
| **Small**<br>(600 to 2,499)<br>(N = 1,864/1,207) | 20 (6) | 16 (6) | 16 (9) | 3 (2) | 65 (7) |
| **All districts**<br>(600 or more)<br>(N = 4,041/2,986) | 24 (4) | 22 (4) | 17 (5) | 12 (2) | 57 (4) |

---

* Among districts with eligible private schools, and in which the private school student component is administered at the district level.

** Among districts with one or more private schools with students participating in Chapter 2, and in which the private school student component is administered at the district level.

Table A-XII-4

## DISTRICTS' EXPLANATIONS FOR LACK OF PARENT AND CITIZEN INVOLVEMENT IN CHAPTER 2 DECISIONMAKING, BY SIZE OF DISTRICT

(Standard Error Values are in Parentheses)

| | Percentage of districts indicating reason | | | | |
|---|---|---|---|---|---|
| Size of District (Enrollment) | Award amount too small | Citizens satisfied with programs | Program goals did not change | Low public interest/ awareness | LEA didn't encourage public involvement |
| Very large (25,000 or more) (N = 150) | 33 (4) | 62 (4) | 58 (9) | 27 (4) | 12 (2) |
| Urban (N = 85) | 36 (6) | 50 (5) | 70 (5) | 25 (5) | 14 (4) |
| Suburban (N = 65) | 29 (5) | 77 (4) | 41 (7) | 30 (5) | 8 (3) |
| Large (10,000 to 24,999) (N = 432) | 41 (5) | 70 (4) | 54 (5) | 37 (5) | 16 (4) |
| Medium (2,500 to 9,999) (N = 2,930) | 57 (3) | 66 (3) | 48 (3) | 28 (2) | 9 (2) |
| Small (600 to 2,499) (N = 5,230) | 55 (4) | 56 (4) | 38 (4) | 32 (4) | 15 (3) |
| Very small (under 600) (N = 5,896) | 77 (6) | 51 (6) | 30 (7) | 39 (8) | 16 (6) |
| All districts (N = 14,638) | 64 (3) | 56 (3) | 37 (3) | 34 (4) | 14 (3) |

## Table A-XVII-1

## USE OF CHAPTER 2 FUNDS FOR LOCAL PRIORITIES

(Standard error values are in parentheses)

| Chapter 2 coordinator indicates that ... | Percentage of all districts nationwide | Rank order of this response |
|---|---|---|
| ...Local priorities are an important factor in decisions about the use of funds (N = 14,771) | 82 (2) | 1* |
| ...One accomplishment of the block grant is to provide funds for local priorities (N = 15,364) | 69 (3) | 3** |

---

[*] The most frequently noted response out of 10 possibilities.

[**] The third most frequently noted response out of 12 possibilities.

## Table A-XVII-2

## PERCEIVED STATE AND FEDERAL CONSTRAINTS ON LOCAL CHAPTER 2 FUNDS

(Standard error values are in parentheses)

| Chapter 2 coordinators indicate... | Percentage of districts nationwide | |
|---|---|---|
| | N | |
| a. State constraints | | |
| ... Their uses of Chapter 2 funds are limited by state regulations or guidelines | 14,748 | 30 (3) |
| ... and they desire less state intrusion* | 14,631 | 5 (2) |
| b. Federal constraints | | |
| ... Their uses of Chapter 2 funds are limited by federal regulations or guidelines | 14,748 | 25 (3) |
| ... and they desire less federal guidance* | 14,594 | 11 (2) |

---

*Percentage of districts indicating both that their uses were limited by state or federal guidance and that they wished they had less guidance.

## Table A-XVII-3

## FLEXIBILITY UNDER CHAPTER 2 VERSUS SELECTED ANTECEDENT PROGRAMS

(Standard error values are in parentheses)

|  | Compared with selected antecedent programs, in the following percentage of districts (that had each program) |  |  |
|---|---|---|---|
| Chapter 2 coordinators* consider Chapter 2... | Title IV-B | Title IV-C | ESAA |
| More flexible | 46 (4) | 65 (6) | 65 (9) |
| About the same | 53 (4) | 27 (6) | 27 (7) |
| Less flexible | 1 (2) | 5 (3) | 8 (6) |
|  | 100<br>N = 4,427 | 100<br>N = 1,878 | 100<br>N = 328 |

---

*Excluding coordinators who did not have responsibility for these programs.

Table A-XVII-4

## NUMBER OF ACTIVITY CATEGORIES SUPPORTED BY CHAPTER 2 AND ANTECEDENT PROGRAMS, BY SIZE OF DISTRICT

(Standard error values are in parentheses)

| | Average number of major activity categories* supported by... | |
|---|---|---|
| Size of District (Enrollment) | Antecedent program funds in 1981-82 | Chapter 2 funds in 1984-85 |
| Very large<br>(25,000 or more)<br>(N = 96/151) | 3.8 (.20) | 4.8 (.06) |
| Urban<br>(N = 58/86) | 3.9 (.19) | 4.9 (.09) |
| Suburban<br>(N = 38/65) | 3.8 (.42) | 4.7 (.08) |
| Large<br>(10,000 to 24,999)<br>(N = 256/452) | 3.0 (.16) | 4.0 (.12) |
| Medium<br>(2,500 to 9,999)<br>(N = 1,719/2,966) | 2.5 (.10) | 2.9 (.06) |
| Small<br>(600 to 2,499)<br>(N = 3,044/5,285) | 1.9 (.14) | 2.4 (.09) |
| Very small<br>(under 600)<br>(N = 2,606/6,509) | 1.4 (.16) | 1.9 (.09) |
| All districts<br>(N = 7,722/15,363) | 1.9 (.08) | 2.3 (.05) |

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*Out of a total of seven possible categories.

Table A-XVIII-1

## INTERACTIONS SEAs INITIATE WITH DISTRICTS, BY SIZE OF DISTRICT

| District Size (Enrollment) | Percentage of districts reporting that the SEA... | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Held meeting(s) to explain the program | Asked questions about the local application | Questioned proposed uses of funds | Conducted a monitoring visit | Conducted an auditing visit | Requested data for evaluation | Provided technical assistance on program mechanics | Provided technical assistance on educational services |
| **Very large** (25,000 or more) (N = 159) | 83 (3) | 45 (4) | 27 (3) | 58 (3) | 34 (3) | 56 (4) | 64 (4) | 51 (4) |
| Urban (N = 92) | 82 (4) | 43 (5) | 26 (5) | 61 (4) | 28 (4) | 56 (5) | 63 (5) | 54 (6) |
| Suburban (N = 68) | 85 (5) | 48 (7) | 30 (6) | 53 (6) | 42 (5) | 56 (6) | 67 (6) | 47 (6) |
| **Large** (10,000 to 24,999) (N = 446) | 82 (4) | 39 (5) | 14 (3) | 47 (5) | 33 (5) | 62 (5) | 67 (5) | 39 (5) |
| **Medium** (2,500 to 9,999) (N = 3,033) | 76 (2) | 39 (3) | 23 (2) | 43 (2) | 33 (3) | 50 (3) | 59 (3) | 42 (3) |
| **Small** (600 to 2,499) (N = 5,379) | 69 (4) | 31 (4) | 16 (3) | 41 (4) | 33 (4) | 45 (4) | 47 (4) | 28 (4) |
| **Very small** (under 600) (N = 5,735) | 48 (8) | 28 (7) | 20 (5) | 29 (7) | 23 (7) | 23 (6) | 33 (7) | 16 (5) |
| **All districts** (N = 14,751) | 63 (4) | 32 (3) | 19 (2) | 37 (3) | 29 (3) | 39 (3) | 45 (4) | 27 (3) |

## Table A-XVIII-2

## INTERACTIONS BETWEEN SEAS AND DISTRICTS

(Standard error values are in parentheses)

| Interaction | Percentage of all districts reporting yes |
|---|---|
| Initiated by district:<br>(N = 14,541) | |
| Questions about forms | 66% (4) |
| Questions about allowable uses | 64 (4) |
| Questions about amount of Chapter 2 allocation | 28 (3) |
| Evaluation questions | 26 (2) |
| Monitoring questions | 22 (3) |
| Questions about public school services | 16 (3) |
| Questions about services for private schools students | 40* (4) |
| Auditing questions | 14 (2) |
| Citizen participation questions | 7 (1) |
| Initiated by state: | |
| Held meeting to explain the program | 63 (4) |
| Provided technical assistance on program mechanics | 45 (4) |
| Requested data for evaluations | 39 (3) |
| Conducted monitoring visit | 37 (3) |
| Asked questions about the local application | 32 (3) |
| Conducted auditing visit | 29 (3) |
| Provided technical assistance on educational services | 27 (3) |
| Questioned proposed use of funds | 19 (2) |

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[*] Percentage based only on districts with eligible private schools.

### Table A-XVIII-3

### DISTRICTS' REPORTS OF STATE INFLUENCES

(Standard error values are in parentheses)

| Area | Percentage of districts nationwide responding yes |
|---|---|
| State had no influence | 45 (4) |
| State influenced: | |
| Mechanics of applying for funds | 38 (3) |
| District record keeping | 34 (4) |
| District evaluation activities | 21 (2) |
| Choice of programs or purchases | 18 (3) |
| Types of students served | 4 (1) |
| Arrangements for consultation with the public | 4 (1) |
| Types of services for private school students | 4 (1) |
| | N = 14,667 |

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[*] Responses total more than 100% because multiple responses were allowed.

Table A-XIX-1

## INTERGOVERNMENTAL FACTORS LIMITING HOW CHAPTER 2 FUNDS ARE USED

(Standard error values are in parentheses)

| | Percentage of districts in each size category reporting limitations due to... | | | | |
|---|---|---|---|---|---|
| District Size (Enrollment) | Nothing | State regs/ guidelines | Federal guidelines | Uncertainty about funding | Uncertainty about audits |
| **Very large** (25,000 or more) (N = 150) | 26 (3) | 31 (3) | 38 (4) | 37 (4) | 23 (3) |
| Urban (N = 87) | 29 (4) | 26 (5) | 42 (6) | 39 (5) | 16 (3) |
| Suburban (N = 63) | 27 (5) | 34 (6) | 28 (6) | 35 (6) | 30 (6) |
| **Large** (10,000 to 24,999) (N = 441) | 26 (4) | 38 (5) | 38 (5) | 23 (4) | 10 (3) |
| **Medium** (2,500 to 9,999) (N = 2,878) | 33 (2) | 32 (2) | 33 (2) | 24 (2) | 13 (2) |
| **Small** (600 to 2,499) (N = 5,202) | 44 (4) | 24 (4) | 26 (4) | 23 (4) | 8 (2) |
| **Very small** (under 600) (N = 5,670) | 34 (8) | 35 (7) | 19 (5) | 16 (4) | 8 (5) |
| **All districts** (N = 14,343) | 37 (4) | 30 (3) | 25 (3) | 21 (2) | 9 (2) |

Table A-XIX-2

## DISTRICTS REPORTING THAT NATIONAL REFORMS OR STATE PRIORITIES INFLUENCED CHAPTER 2 DECISIONS

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in each size category reporting that a main influence on decisions was... | |
|---|---|---|
| | Reform report recommendations | State mandates or priorities |
| Very large<br>(25,000 or more)<br>(N = 162) | 10 (1) | 14 (2) |
| Urban<br>(N = 92) | 8 (1) | 15 (2) |
| Suburban<br>(N = 70) | 13 (2) | 14 (2) |
| Large<br>(10,000 to 24,999)<br>(N = 461) | 16 (3) | 15 (3) |
| Medium<br>(2,500 to 9,999)<br>(N = 2,954) | 11 (1) | 13 (1) |
| Small<br>(600 to 2,499)<br>(N = 5,204) | 9 (2) | 8 (2) |
| Very small<br>(under 600)<br>(N = 5,989) | 6 (3) | 9 (3) |
| All districts<br>(N = 14,771) | 9 (2) | 9 (1) |

Table XIX-3

### INTERGOVERNMENTAL CHANGES RECOMMENDED FOR CHAPTER 2

(Standard error values are in parentheses)

| District Size (Enrollment) | Percentage of districts in each size category indicating that the following would improve Chapter 2: | | | | | | | |
|---|---|---|---|---|---|---|---|---|
| | Nothing | Less federal guidance/ regulation | Less state interference | More federal guidance | More state guidance | Change state formula | Change use of state set-aside | Clarify audit procedures |
| **Very large** (25,000 or more) (N = 150) | 20 (3) | 16 (3) | 5 (2) | 10 (2) | 9 (2) | 25 (3) | 22 (3) | 25 (3) |
| Urban (N = 87) | 15 (3) | 23 (3) | 12 (2) | 8 (4) | 4 (2) | 29 (4) | 26 (5) | 17 (3) |
| Suburban (N = 63) | 27 (7) | 8 (3) | 6 (2) | 3 (3) | 18 (6) | 19 (4) | 16 (5) | 34 (6) |
| **Large** (10,000 to 24,999) (N = 441) | 34 (5) | 28 (5) | 4 (2) | 2 (1) | 3 (1) | 12 (3) | 15 (4) | 29 (5) |
| **Medium** (2,500 to 9,999) (N = 2,878) | 40 (3) | 25 (2) | 5 (1) | 2 (1) | 3 (1) | 14 (2) | 11 (2) | 14 (2) |
| **Small** (600 to 2,499) (N = 5,202) | 50 (5) | 26 (4) | 8 (3) | 1 * | 3 (1) | 16 (3) | 5 (1) | 9 (3) |
| **Very small** (under 600) (N = 5,670) | 35 (7) | 32 (7) | 17 (7) | 0 (0) | 5 (4) | 19 (6) | 12 (6) | 13 (4) |
| **All districts** (N = 14,343) | 41 (3) | 28 (3) | 11 (3) | 1 * | 4 (2) | 17 (3) | 9 (3) | 13 (2) |

## Appendix B

## ANTECEDENT PROGRAMS

## Appendix B

## LIST OF ANTECEDENT PROGRAMS
## CONSOLIDATED INTO THE CHAPTER 2 BLOCK GRANT

| | Program Name | Authorization |
|---|---|---|
| 1. | Basic Skills Improvement (Basic Grant)<br>- Parent Participation<br>- Out of School Program | Title II, ESEA |
| 2. | Metric Education | Part B, Title III, ESEA |
| 3. | Arts in Education | Part C, Title III, ESEA |
| 4. | Preschool Partnership Programs | Part D, Title III, ESEA |
| 5. | Consumer Education | Part E, Title III, ESEA |
| 6. | Youth Employment | Part F, Title III, ESEA |
| 7. | Law-Related Education | Part G, Title III, ESEA |
| 8. | Environmental Education | Part H, Title III, ESEA |
| 9. | Health Education | Part I, Title III, ESEA |
| 10. | Correction Education | Part J, Title III, ESEA |
| 11. | Dissemination of Information | Part K, Title III, ESEA |
| 12. | Biomedical Sciences | Part L, Title III, ESEA |
| 13. | Population Education | Part M, Title III, ESEA |
| 14. | International Cultural Understanding | Part N, Title III, ESEA |
| 15. | School Library Resources | Part B, Title IV, ESEA |
| 16. | Support & Innovation | Part C, Title IV, ESEA |
| 17. | Guidance & Counseling | Part D, Title IV, ESEA |
| 18. | Strengthening State Agencies | Part B, Title V, ESEA |
| 19. | Emergency School Aid<br>(1) Basic Grants to LEAs<br>- New<br>- Continuation | Title VI, ESEA (formerly ESAA) |

| | Program Name | Authorization |
|---|---|---|
| | (2) Grants to Nonprofit Organizations<br>- New<br>- Continuation | |
| | (3) Magnet Schools<br>- New<br>- Continuation | |
| | (4) Special Projects<br>- Planning Grants (new)<br>- Preimplementation<br>- Out-of-Cycle Grants<br>- Special Discretionary Grants<br>- SEA Grants<br>- Arts | |
| 20. | Community Schools<br>- LEA<br>- SEA<br>- Institutions of Higher Education<br>- Nonprofit Organizations | Title VIII, ESEA |
| 21. | Gifted & Talented<br>- Statewide Planning<br>- Professional Development<br>- Model Demonstration Projects | Part A, Title IX, ESEA |
| 22. | Educational Proficiency | Part B, Title IX, ESEA |
| 23. | Safe Schools | Part D, Title IX, ESEA |
| 24. | Ethnic Heritage | Part E, Title IX, ESEA |
| 25. | Teacher Corps<br>- 1978 Program<br>- 1979 Program | Part A, Title V, HEA |
| 26. | Teacher Centers<br>- New<br>- Continuation | Part B, Title V, HEA |
| 27. | Follow Through<br>- LEAs (Compensatory Education)<br>- Sponsors<br>- Resource Centers | Part B, Head Start & Follow Through Act (phase in to Chapter 2) |
| 28. | Precollege Science Teacher Training | Section 3(a)(1), National Science Foundation Act |
| 29. | Career Education | Career Education Incentive Act |

| Program Name | Authorization |
|---|---|
| 30. Alcohol & Drug Abuse Education | Alcohol & Drug Abuse Act |
| 31. Cities in Schools | Authorization uncertain |
| 32. Push for Excellence | Authorization uncertain |

Abbreviations

ESEA - Elementary and Secondary Education Act of 1965, as amended in 1978

ESAA - Emergency School Aid Act (part of ESEA)

HEA - Higher Education Act

## Appendix C

# TEXT OF THE FEDERAL LAW: CHAPTER 2 OF THE EDUCATION CONSOLIDATION AND IMPROVEMENT ACT OF 1981

### *EFFECTIVE DATE*

*SEC. 547. This subtitle shall take effect on October 1, 1981.*

## *Subtitle D—Elementary and Secondary Education Block Grant*

*SEC. 551. This subtitle may be cited as the "Education Consolidation and Improvement Act of 1981".*

## *CHAPTER 2—CONSOLIDATION OF FEDERAL PROGRAMS FOR ELEMENTARY AND SECONDARY EDUCATION*

### *STATEMENT OF PURPOSE*

*SEC. 561. (a) It is the purpose of this chapter to consolidate the program authorizations contained in—*

*(1) titles II, III, IV, V, VI, VIII, and IX (except part C) of the Elementary and Secondary Education Act of 1965;*

*(2) the Alcohol and Drug Abuse Education Act;*

*(3) part A and section 532 of title V of the Higher Education Act of 1965;*

(4) the Follow Through Act (on a phased basis);

(5) section 3(a)(1) of the National Science Foundation Act of 1950 relating to precollege science teacher training; and

(6) the Career Education Incentive Act;

into a single authorization of grants to States for the same purposes set forth in the provisions of law specified in this sentence, but to be used in accordance with the educational needs and priorities of State and local educational agencies as determined by such agencies. It is the further purpose and intent of Congress to financially assist State and local educational agencies to improve elementary and secondary education (including preschool education) for children attending both public and private schools, and to do so in a manner designed to greatly reduce the enormous administrative and paperwork burden imposed on schools at the expense of their ability to educate children.

(b) The basic responsibility for the administration of funds made available under this chapter is in the State educational agencies, but it is the intent of Congress that this responsibility be carried out with a minimum of paperwork and that the responsibility for the design and implementation of programs assisted under the chapter shall be mainly that of local educational agencies, school superintendents and principals, and classroom teachers and supporting personnel, because they have the most direct contact with students and are most directly responsible to parents.

### AUTHORIZATION OF APPROPRIATIONS; DURATION OF ASSISTANCE

SEC. 562. (a) There are authorized to be appropriated such sums as may be necessary for fiscal year 1982 and each of the five succeeding fiscal years to carry out the provisions of this chapter.

(b) During the period beginning July 1, 1982, and ending September 30, 1987, the Secretary shall, in accordance with the provisions of this subtitle, make payments to State educational agencies for the purposes of this chapter.

(c) Funds available under previously authorized programs shall be available for the purpose of such payments in accordance with section 514(b)(2) of the Omnibus Education Reconciliation Act of 1981.

### ALLOTMENTS TO STATES

SEC. 563. (a) From the sums appropriated to carry out this chapter in any fiscal year, the Secretary shall reserve not to exceed 1 per centum for payments to Guam, American Samoa, the Virgin Islands, the Trust Territory of the Pacific Islands, and the Northern Mariana Islands, to be allotted in accordance with their respective needs. The Secretary shall reserve an additional amount, not to exceed 6 per centum of the sums appropriated, to carry out the purposes of section 583. From the remainder of such sums the Secretary shall allot to each State an amount which bears the same ratio to the amount of such remainder as the school-age population of the State bears to the school-age population of all States, except that no State shall receive less than an amount equal to 0.5 per centum of such remainder.

(b) For the purposes of this section:

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*(1) The term "school-age population" means the population aged five through seventeen.*

*(2) The term "States" includes the fifty States, the District of Columbia, and Puerto Rico.*

### STATE APPLICATIONS

*SEC. 564. (a) Any State which desires to receive grants under this chapter shall file an application with the Secretary which—*

*(1) designates the State educational agency as the State agency responsible for the administration and supervision of programs assisted under this chapter;*

*(2) provides for a process of active and continuing consultation with the State educational agency of an advisory committee, appointed by the Governor and determined by the Governor to be broadly representative of the educational interests and the general public in the State, including persons representative of—*

*(A) public and private elementary and secondary schoolchildren;*

*(B) classroom teachers;*

*(C) parents of elementary and secondary schoolchildren;*

*(D) local boards of education;*

*(E) local and regional school administrators (including principals and superintendents);*

*(F) institutions of higher education; and*

*(G) the State legislature;*

*to advise the State educational agency on the allocation among authorized functions of funds (not to exceed 20 per centum of the amount of the State's allotment) reserved for State use under section 565(a), on the formula for the allocation of funds to local educational agencies, and on the planning, development, support, implementation, and evaluation of State programs assisted under this chapter;*

*(3) sets forth the planned allocation of funds reserved for State use under section 565(a) among subchapters A, B, and C of this chapter and among the authorized programs and projects which are to be implemented, and the allocation of such funds required to implement section 586, including administrative costs of carrying out the responsibilities of the State educational agency under this chapter;*

*(4) provides for timely public notice and public dissemination of the information provided pursuant to paragraphs (2) and (3);*

*(5) beginning with fiscal year 1984, provides for an annual evaluation of the effectiveness of programs assisted under this chapter, which shall include comments of the advisory committee, and shall be made available to the public; and*

*(6) provides that the State educational agency will keep such records and provide such information to the Secretary as may be required for fiscal audit and program evaluation (consistent with the responsibilities of the Secretary under this chapter); and*

*(7) contains assurances that there is compliance with the specific requirements of this chapter.*

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*(b) An application filed by the State under subsection (a) shall be for a period not to exceed three fiscal years, and may be amended annually as may be necessary to reflect changes without filing a new application.*

### *ALLOCATION TO LOCAL EDUCATIONAL AGENCIES*

*SEC. 565. (a) From the sum made available each year under section 563, the State educational agency shall distribute not less than 80 per centum to local educational agencies within such State according to the relative enrollments in public and nonpublic schools within the school districts of such agencies, adjusted, in accordance with criteria approved by the Secretary, to provide higher per pupil allocations to local educational agencies which have the greatest numbers or percentages of children whose education imposes a higher than average cost per child, such as—*

*(1) children from low-income families,*

*(2) children living in economically depressed urban and rural areas, and*

*(3) children living in sparsely populated areas.*

*(b) The Secretary shall approve criteria suggested by the State educational agency for adjusting allocations under subsection (a) if such criteria are reasonably calculated to produce an equitable distribution of funds with reference to the factors set forth in subsection (a).*

*(c) From the funds paid to it pursuant to sections 563 and 564 during each fiscal year, the State educational agency shall distribute to each local educational agency which has submitted an application as required in section 566 the amount of its allocation as determined under subsection (a).*

### *LOCAL APPLICATIONS*

*SEC. 566. (a) A local educational agency may receive its allocation of funds under this chapter for any year in which it has on file with the State educational agency an application which—*

*(1) sets forth the planned allocation of funds among subchapters A, B, and C of this chapter and for the programs authorized by such subchapters which it intends to support, including the allocation of such funds required to implement section 586;*

*(2) provides assurances of compliance with provisions of this chapter relating to such programs, including the participation of children enrolled in private, nonprofit schools in accordance with section 586;*

*(3) agrees to keep such records, and provide such information to the State educational agency as reasonably may be required for fiscal audit and program evaluation, consistent with the responsibilities of the State agency under this chapter; and*

*(4) in the allocation of funds for programs authorized by this chapter, and in the design, planning, and implementation of such programs, provides for systematic consultation with parents of children attending elementary and secondary schools in the area served by the local agency, with teachers and adminis-*

*trative personnel in such schools, and with other groups as may be deemed appropriate by the local educational agency.*

*(b) An application filed by a local educational agency under subsection (a) shall be for a period not to exceed three fiscal years, may provide for the allocation of funds among programs and purposes authorized by this chapter for a period of three years, and may be amended annually as may be necessary to reflect changes without filing a new application.*

*(c) Each local educational agency shall have complete discretion, subject only to the provisions of this chapter, in determining how funds the agency receives under this section shall be divided among the purposes of this chapter in accordance with the application submitted under this section.*

## *Subchapter A—Basic Skills Development*

### *USE OF FUNDS*

*Sec. 571. Funds allocated for use under this subchapter shall be used by State and local educational agencies to develop and implement a comprehensive and coordinated program designed to improve elementary and secondary school instruction in the basic skills of reading, mathematics, and written and oral communication, as formerly authorized by title II of the Elementary and Secondary Education Act of 1965, relating to basic skills improvement, including the special mathematics program as formerly authorized by section 232 of such title.*

### *STATE LEADERSHIP AND SUPPORT SERVICES*

*Sec. 572. (a) In order to achieve the purposes of this subchapter, State educational agencies may use funds reserved for State programs to make grants to and enter into contracts with local educational agencies, institutions of higher education, and other public and private agencies, organizations, and institutions—*

*(1) to carry out planning, research and development, demonstration projects, training of leadership personnel, short term and regular session teacher training institutes; and*

*(2) for the development of instructional materials, the dissemination of information, and technical assistance to local educational agencies.*

*Each State educational agency may also use such funds for technical assistance and training for State boards of education.*

*(b) State educational agencies may support activities designed to enlist the assistance of parents and volunteers working with schools to improve the performance of children in the basic skills. Such activities may include—*

*(1) the development and dissemination of materials that parents may use in the home to improve their children's performance in those skills; and*

*(2) voluntary training activities for parents to encourage and assist them to help their children in developing basic skills;*

*except that such activities conducted in local areas shall be conducted with the approval of and in conjunction with programs of local educational agencies.*

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### *SCHOOL LEVEL PROGRAMS*

*Sec. 573. (a) In planning for the utilization of funds it allocates for this chapter (from its allotment under section 565) a local educational agency shall provide for the participation of children enrolled in private elementary and secondary schools (and of teachers in such schools) in accordance with section 586. Such plans shall be developed in conjunction with and involve continuing consultation with teachers and principals in such district. Such planning shall include a systematic strategy for improving basic skills instruction for all children which provides for planning and implementation at the school building level, involving teachers, administrators, and (to the extent practicable) parents, and utilizing all available resources in a comprehensive program. The programs shall include—*

*(1) diagnostic assessment to identify the needs of all children in the school;*

*(2) the establishment of learning goals and objectives for children and for the school;*

*(3) to the extent practicable, pre-service and in-service training and development programs for teachers, administrators, teacher aides and other support personnel, designed to improve instruction in the basic skills;*

*(4) activities designed to enlist the support and participation of parents to aid in the instruction of their children; and*

*(5) procedures for testing students and for evaluation of the effectiveness of programs for maintaining a continuity of effort for individual children.*

*(b) The programs described in subsection (a) may include such areawide or districtwide activities as learning centers accessible to students and parents, demonstration and training programs for parents, and other activities designed to promote more effective instruction in the basic skills.*

## *Subchapter B—Educational Improvement and Support Services*

### *STATEMENT OF PURPOSE*

*Sec. 576. It is the purpose of this subchapter to permit State and local educational agencies to use Federal funds (directly, and through grants to or contracts with educational agencies, local educational agencies, institutions of higher education, and other public and private agencies, organizations, and institutions) to carry out selected activities from among the full range of programs and projects formerly authorized under title IV, relating to educational improvement, resources, and support, title V, relating to State leadership, title VI, relating to emergency school aid, of the Elementary and Secondary Education Act of 1965, section 3(a)(1) of the National Science Foundation Act of 1950, relating to precollege science teacher training, and part A and section 532 of title V of the Higher Education Act of 1965, relating to the Teacher Corps and teacher centers, in accordance with the planned allocation of funds set forth in the applications under sections 564 and 566, in conformity with the other requirements of this chapter.*

## AUTHORIZED ACTIVITIES

SEC. 577. Programs and projects authorized under this subchapter include—

(1) the acquisition and utilization—

(A) of school library resources, textbooks, and other printed and published instructional materials for the use of children and teachers in public and private elementary and secondary schools which shall be used for instructional purposes only, and

(B) of instructional equipment and materials suitable for use in providing education in academic subjects for use by children and teachers in elementary and secondary schools which shall be used for instructional purposes only,

which take into account the needs of children in both public and private schools based upon periodic consultation with teachers, librarians, media specialists, and private school officials;

(2) the development of programs designed to improve local educational practices in elementary and secondary schools, and particularly activities designed to address educational problems such as the education of children with special needs (educationally deprived children, gifted and talented children, including children in private schools);

(3) programs designed to assist local educational agencies, upon their request, to more effectively address educational problems caused by the isolation or concentration of minority group children in certain schools if such assistance is not conditioned upon any requirement that a local educational agency which assigns students to schools on the basis of geographic attendance areas adopt any other method of student assignment, and that such assistance is not made available for the transportation of students or teachers or for the acquisition of equipment for such transportation;

(4) comprehensive guidance, counseling, and testing programs in elementary and secondary schools and State and local support services necessary for the effective implementation and evaluation of such programs (including those designed to help prepare students for employment);

(5) programs and projects to improve the planning, management and implementation of educational programs including fiscal management, by both State and local educational agencies, and the cooperation of such agencies with other public agencies;

(6) programs and projects to assist in teacher training and inservice staff development, particularly to better prepare both new and in-service personnel to deal with contemporary teaching and learning requirements and to provide assistance in the teaching and learning of educationally deprived students; and

(7) programs and projects to assist local educational agencies to meet the needs of children in schools undergoing desegregation and to assist such agencies to develop and implement plans for desegregation in the schools of such agencies.

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## *Subchapter C—Special Projects*

### *STATEMENT OF PURPOSE*

*SEC. 581. It is the purpose of this subchapter to permit State and local educational agencies to use Federal funds (directly and through grants to or contracts with educational agencies, local educational agencies, institutions of higher education, and other public and private agencies, organizations, and institutions) to carry out selected activities from among the full range of programs and projects formerly authorized under title III, relating to special projects, title VIII, relating to community schools, and title IX (except part C), relating to gifted and talented children, educational proficiency standards, safe schools program, and ethnic heritage program, of the Elementary and Secondary Education Act of 1965, the Career Education Incentive Act, and part B of title V of the Economic Opportunity Act of 1964, relating to Follow Through programs, in accordance with the planned allocation of funds set forth in the applications under sections 564 and 566, in conformity with the other requirements of this chapter.*

### *AUTHORIZED ACTIVITIES*

*SEC. 582. Programs and projects authorized under this subchapter include—*

*(1) special projects (as may be determined to be desirable by the State or local educational agencies) in such areas as—*

*(A) preparation of students to use metric weights and measurements when such use is needed;*

*(B) emphasis on the arts as an integral part of the curriculum;*

*(C)(i) in-school partnership programs in which the parents of school-age children participate to enhance the education and personal development of the children, previously authorized by part B of the Headstart-Follow Through Act;*

*(ii) preschool partnership programs in which the schools work with parents of preschool children in cooperation with programs funded under the Headstart-Follow Through Act;*

*(D) consumer education;*

*(E) preparation for employment, the relationship between basic academic skill development and work experience, and coordination with youth employment programs carried out under the Comprehensive Employment and Training Act;*

*(F) career education previously authorized by the Career Education Incentive Act;*

*(G) environmental education, health education, education about legal institutions and the American system of law and its underlying principles, and studies on population and the effects of population changes;*

*(H) academic and vocational education of juvenile delinquents, youth offenders, and adult criminal offenders; and*

*(I) programs to introduce disadvantaged secondary school students to the possibilities of careers in the biomedical*

*and medical sciences, and to encourage, motivate, and assist them in the pursuit of such careers;*

*(2) the use of public education facilities as community centers operated by a local education agency in conjunction with other local governmental agencies and community organizations and groups to provide educational, recreational, health care, cultural, and other related community and human services for the community served in accordance with the needs, interests, and concerns of the community and the agreement and conditions of the governing board of the local educational agency; and*

*(3) additional programs, including—*

*(A) special programs to identify, encourage, and meet the special educational needs of children who give evidence of high performance capability in areas such as intellectual, creative, artistic, leadership capacity, or specific academic fields, and who require services or activities not ordinarily provided by the school in order to fully develop such capabilities;*

*(B) establishment of educational proficiency standards for reading, writing, mathematics, or other subjects, the administration of examinations to measure the proficiency of students, and implementation of programs (coordinated with those under subchapter A of this chapter) designed to assist students in achieving levels of proficiency compatible with established standards;*

*(C) programs designed to promote safety in the schools and to reduce the incidence of crime and vandalism in the school environment;*

*(D) planning, developing, and implementing ethnic heritage studies programs to provide all persons with an opportunity to learn about and appreciate the unique contributions to the American national heritage made by the various ethnic groups, and to enable students better to understand their own cultural heritage as well as the cultural heritage of others; and*

*(E) programs involving training and advisory services under title IV of the Civil Rights Act of 1964.*

## *Subchapter D—Secretary's Discretionary Funds*

### DISCRETIONARY PROGRAM AUTHORIZED

*Sec. 583. (a) From the sums reserved by the Secretary pursuant to the second sentence of section 563(a) the Secretary is authorized to carry out directly or through grants to or contracts with State and local educational agencies, institutions of higher education, and other public and private agencies, organizations, and institutions, programs and projects which—*

*(1) provide a national source for gathering and disseminating information on the effectiveness of programs designed to meet the special educational needs of educationally deprived children, and others served by this subtitle, and for assessing the needs of such individuals, including programs and projects formerly authorized by section 376 of the Elementary and Second-*

ary Education Act of 1965 and programs and projects formerly funded under the "National Diffusion Network" program;

(2) carry out research and demonstrations related to the purposes of this subtitle;

(3) are designed to improve the training of teachers and other instructional personnel needed to carry out the purposes of this subtitle; or

(4) are designed to assist State and local educational agencies in the implementation of programs under this subtitle.

(b) From the funds reserved for the purposes of this section, the Secretary shall first fund—

(1) the Inexpensive Book Distribution Program (as carried out through "Reading is Fundamental") as formerly authorized by part C of title II of the Elementary and Secondary Education Act of 1965,

(2) the programs of national significance in the "Arts in Education" Program as formerly authorized by part C of title III of such Act, and

(3) programs in alcohol and drug abuse education as formerly authorized by the Alcohol and Drug Abuse Education Act,

at least in amounts necessary to sustain the activities described in this sentence at the level of operations during fiscal year 1981, and then utilize the remainder of such funds for the other authorized activities described in subsection (a).

### Subchapter E—General Provisions

#### MAINTENANCE OF EFFORT; FEDERAL FUNDS SUPPLEMENTARY

SEC. 585. (a)(1) Except as provided in paragraph (2), a State is entitled to receive its full allocation of funds under this chapter for any fiscal year if the Secretary finds that either the combined fiscal effort per student or the aggregate expenditures within the State with respect to the provision of free public education for the preceding fiscal year was not less than 90 per centum of such combined fiscal effort or aggregate expenditures for the second preceding fiscal year.

(2) The Secretary shall reduce the amount of the allocation of funds under this chapter in any fiscal year in the exact proportion to which the State fails to meet the requirements of paragraph (1) by falling below 90 per centum of both the fiscal effort per student and aggregate expenditures (using the measure most favorable to the State), and no such lesser amount shall be used for computing the effort required under paragraph (1) for subsequent years.

(3) The Secretary may waive, for one fiscal year only, the requirements of this subsection if he determines that such a waiver would be equitable due to exceptional or uncontrollable circumstances such as a natural disaster or a precipitous and unforeseen decline in the financial resources of the State.

(b) A State or local educational agency may use and allocate funds received under this chapter only so as to supplement and, to the extent practical, increase the level of funds that would, in the absence of Federal funds made available under this chapter, be made available from non-Federal sources, and in no case may such funds be used so as to supplant funds from non-Federal sources.

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(c) The Secretary is specifically authorized to issue regulations to enforce the provisions of this section.

### PARTICIPATION OF CHILDREN ENROLLED IN PRIVATE SCHOOLS

SEC. 586. (a)(1) To the extent consistent with the number of children in the school district of a local educational agency which is eligible to receive funds under this chapter or which serves the area in which a program or project assisted under this chapter is located who are enrolled in private nonprofit elementary and secondary schools, or with respect to instructional or personnel training programs funded by the State educational agency from funds reserved for State use under section 565, such agency after consultation with appropriate private school officials, shall provide for the benefit of such children in such schools secular, neutral, and nonideological services, materials, and equipment including the participation of the teachers of such children (and other educational personnel serving such children) in training programs, and the repair, minor remodeling, or construction of public facilities as may be necessary for their provision (consistent with subsection (c) of this section), or, if such service, materials, and equipment are not feasible or necessary in one or more such private schools as determined by the local educational agency after consultation with the appropriate private school officials, shall provide such other arrangements as will assure equitable participation of such children in the purposes and benefits of this chapter.

(2) If no program or project is carried out under subsection (a)(1) of this section in the school district of a local educational agency, the State educational agency shall make arrangements, such as through contracts with nonprofit agencies or organizations, under which children in private schools in that district are provided with services and materials to the extent that would have occurred if the local educational agency had received funds under this chapter.

(3) The requirements of this section relating to the participation of children, teachers, and other personnel serving such children shall apply to programs and projects carried out under this chapter by a State or local educational agency, whether directly or through grants to or contracts with other public or private agencies, institutions, or organizations.

(b) Expenditures for programs pursuant to subsection (a) shall be equal (consistent with the number of children to be served) to expenditures for programs under this chapter for children enrolled in the public schools of the local educational agency, taking into account the needs of the individual children and other factors which relate to such expenditures, and when funds available to a local educational agency under this chapter are used to concentrate programs or projects on a particular group, attendance area, or grade or age level, children enrolled in private schools who are included within the group, attendance area, or grade or age level selected for such concentration shall, after consultation with the appropriate private school officials, be assured equitable participation in the purposes and benefits of such programs or projects.

(c)(1) The control of funds provided under this chapter and title to materials, equipment, and property repaired, remodeled, or constructed therewith shall be in a public agency for the uses and pur-

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*poses provided in this chapter, and a public agency shall administer such funds and property.*

*(2) The provision of services pursuant to this section shall be provided by employees of a public agency or through contract by such public agency with a person, an association, agency, or corporation who or which, in the provision of such services, is independent of such private school and of any religious organizations, and such employment or contract shall be under the control and supervision of such public agency, and the funds provided under this chapter shall not be commingled with State or local funds.*

*(d) If by reason of any provision of law a State or local educational agency is prohibited from providing for the participation in programs of children enrolled in private elementary and secondary schools, as required by this section, the Secretary shall waive such requirements and shall arrange for the provision of services to such children through arrangements which shall be subject to the requirements of this section.*

*(e)(1) If the Secretary determines that a State or a local educational agency has substantially failed or is unwilling to provide for the participation on an equitable basis of children enrolled in private elementary and secondary schools as required by this section, he may waive such requirements and shall arrange for the provision of services to such children through arrangements which shall be subject to the requirements of this section.*

*(2) Pending final resolution of any investigation or complaint that could result in a determination under this subsection or subsection (d), the Secretary may withhold from the allocation of the affected State or local educational agency the amount he estimated would be necessary to pay the cost of those services.*

*(f) Any determination by the Secretary under this section shall continue in effect until the Secretary determines that there will no longer be any failure or inability on the part of the State or local educational agency to meet the requirements of subsections (a) and (b).*

*(g) When the Secretary arranges for services pursuant to this section, he shall, after consultation with the appropriate public and private school officials, pay the cost of such services, including the administrative costs of arranging for those services, from the appropriate allotment of the State under this chapter.*

*(h)(1) The Secretary shall not take any final action under this section until the State educational agency and the local educational agency affected by such action have had an opportunity, for at least forty-five days after receiving written notice thereof, to submit written objections and to appear before the Secretary or his designee to show cause why that action should not be taken.*

*(2) If a State or local educational agency is dissatisfied with the Secretary's final action after a proceeding under paragraph (1) of this subsection, it may within sixty days after notice of such action, file with the United States court of appeals for the circuit in which such State is located a petition for review of that action. A copy of the petition shall be forthwith transmitted by the clerk of the court to the Secretary. The Secretary thereupon shall file in the court the record of the proceedings on which he based this action, as provided in section 2112 of title 28, United States Code.*

# Appendix D

# PREVIOUS RESEARCH ON CHAPTER 2

Table D-1

PREVIOUS RESEARCH ON CHAPTER 2

| Organizations Conducting Research (reference) | Locus of Data Collection | Locus of Data Collection Across U.S. | Data Collection Mode | Time of Data Collection | | |
|---|---|---|---|---|---|---|
| | | | | 1981-82 | 1982-83 | 1983-84 |
| ED-Sponsored Studies | | | | | | |
| 1. NIE Case Studies | | | | | | |
| a. First Year (NIE Draft Case Studies, 1983; Kyle, 1983) | State, local | 9 states: CO, ME, MI, NB, PA, SC, TN, TX, WA, selected LEAs in each state | case study (local observers) | | X | |
| b. Second Year (Kyle, 1985) | State, local | 9 states: CO, ME, MI, NB, PA, SC, TN, TX, WA, selected LEAs in each state | case study (local observers) | | | X |
| 2. Rand New Federalism Study (Darling-Hammond and Marks, 1983) | State | 9 states: AL, CA, CO, GA, KA, MA, MN, MO, PA | case study interviews | X | | |
| 3. Advanced Technology Quick Analyses | | | | | | |
| a. Fiscal Effects (Jung and Bartell, 1983) | Local | 28 largest districts | phone survey; review of existing data | | X | |
| b. Administrative Burden (Hastings and Bartell, 1983) | State, local | 3 states: MT, NC, OH; 9 districts | phone survey | | X | |
| 4. ED/Program Office: Analysis of State Applications | State | All states | document review | | X | |
| 5. ED/Office of Inspector General | | | | | | |
| a. Full Program Review of Kansas SEA, selected LEAs (OIG, 1983) | State, local | 1 state: KA | interview, document review | | X | |
| b. Limited Compliance Audit of Selected States (in progress) | State | 13 states chosen to avoid overlap with GAO study | interview, document review | | | X |
| 6. ED Monitoring of Chapter 2 (in progress) | State | 26 states | site visit, document review | | | X |
| Other Government Research | | | | | | |
| 7. General Accounting Office: Study of Chapter 2 as part of large investigation of all post-1980 block grants | | | | | | |
| a. State-Level Survey | State | 13 states: CA, CO, FL, IO, KY, MA, MI, MS, NY, PA, TX, VT, WA | interview, questionnaires | | X | |
| b. Local Survey | Local | 1,300 districts in the above 13 states | mail questionnaire | | | X |

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Table D-1 (Continued)

| Organizations Conducting Research (reference) | Locus of Data Collection | Locus of Data Collection Across U.S. | Data Collection Mode | Time of Data Collection 1981-82 | 1982-83 | 1983-84 |
|---|---|---|---|---|---|---|
| Advocacy/Interest Group Research | | | | | | |
| 8. Council for Great City Schools (CGCS) | | | | | | |
| a. Analysis of Reagan FY 1982 and 1983 Budgets (CGCS, 1982) | Local | 30 large cities | document review | X | | |
| b. Trends in Federal Funding to Urban Schools (CGCS, 1983) | Local | 30 large cities | document review, interview | | X | |
| c. See 10c (Joint study with AASA) | | | | | | |
| 9. National Citizens Committee for Education (NCCE) | | | | | | |
| a. Case Studies of Chapter 2 Implementation and Associated State-Level Analyses (Henderson, 1983b) | State, local | All states; case studies of 7 states CA, NJ, OH, RI, SC, SD, WA | case study, questionnaire, document review | | X | |
| b. Report on Chapter 2 State Formulas | State | All states | questionnaire; secondary analysis | | | X |
| c. Survey of State Implementation (Henderson, 1985) | State | All states | questionnaire; secondary analysis | | X | |
| 10. American Association of School Administrators (AASA) | | | | | | |
| a. State Level Implementation Report and updates (AASA, 1982) | State | All states | questionnaire | X | | |
| b. Survey of Local Uses of Chapter 2 Funds (AASA, 1983) | Local | Nationwide random sample of districts (n = 1150) | questionnaire | | X | |
| c. Private School Participation in ECIA Chapter 2 (AASA, 1984) | Local | 34 urban school districts | questionnaire | | | X |
| 11. Education Commission of the States (ECS): Study of State-level Distribution of Chapter 2 Funds (ECS, 1982) | State | All states | questionnaire, document review | X | | |
| 12. National Council of La Raza: Study of Availability of Information to the Public (Perilla and Orum, 1984) | Local | 36 large cities | site interview | | | X |

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Table D-1 (Continued)

| Organizations Conducting Research (reference) | Locus of Data Collection | Locus of Data Collection Across U.S. | Data Collection Mode | Time of Data Collection 1981-82 | 1982-83 | 1983-84 |
|---|---|---|---|---|---|---|
| Independent Researchers | | | | | | |
| 13. Rand | | | | | | |
| a. Analysis of Funding and Services Under Antecedent Programs (Kimbrough, 1982) | State | All states | document review | (1980-81) | | |
| b. Study of States and the New Federalism (McLaughlin, 1982) | State | 8 states: ?? | case study visits; secondary analysis | | X | |
| 14. Urban Institute | | | | | | |
| a. Case Studies of Implementation; research on fiscal effects (Pries, 1983) | State, local | All states (fiscal data); case studies of 6 states: FL, PA, NC, NY, TX, VA;* and selected LEAs | case study (site interviews) document review | | X | |
| b. Research on the Impact of Changes in Federal Education Policy (Simms, 1985) | State, local | All states (fiscal data); case studies of 4 LEAs in 4 states: CA, MA, MI, VA | secondary analysis; site interviews | | X | |
| 15. Princeton University, Urban and Regional Research Center: Longitudinal Study of Domestic Social Policy Consequences | | | | | | |
| a. Summary of First Two Years: Consequences of Budget Cuts (Nathan and Doolittle, 1982) | State, local | 14 states, 40 LEAS: AZ, CA, FL, IL, MA, MO, MS, NJ, NY, OK, SD, TX, WA | case study (local observers) | X | X | |
| b. Follow-up (in progress) | State, local | 14 large LEAs, same 14 states | case study (local observers) | | | X |
| 16. Institute for Educational Leadership (IEL): Early Impact of Funding Reductions and Block Grants (IEL, 1982) | State, local | 5 states, selected LEAs: MA, NB, TX, WA, WI | case study (local observers) | X | | |
| 17. Research for Better Schools (RBS): Longitudinal Research on Local Response to the New Federalism | | | | | | |
| a. Case Studies of Funding Cuts (Corbett, et al., 1983) | Local | 3 states, DE, MD, PA; 12 LEAs (big winners and losers; report concentrates on 5 losers) | site interviews, document review | | X | |
| b. Case Studies of Impacts on Decision-Making (Rossman, et al., 1984) | | | | | | X |

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*A subsample of sites from a larger 18-state sample, being studied with respect to noneducational block grants.

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# Appendix E

# STUDY METHODS AND SAMPLES

## Appendix E

## STUDY METHODS AND SAMPLES

In this appendix, we describe the methods for gathering data in this study and the samples from which the data was derived.

### Study Design

To answer the research questions and fulfill its purpose, the study was designed as four interrelated data collection efforts. These are:

1. A mail survey of respondents in local education agencies--This survey was administered in a representative sample of nearly 1,600 school districts, approximately 10% of the universe of school districts. District selection was based on a stratified random sample; the stratification variables were geographic region, district enrollment size, and amount of funds (per pupil) received under antecedent programs.

2. A telephone survey of school personnel in a large representative sample of schools--300 schools, situated within approximately 120 of the mail survey sample districts, were selected according to a sub-stratification scheme defined by the types of Chapter 2-supported activities and school level.

3. On-site interviews with respondents in a small, representative sample of districts--This sample, a subset of the mail survey sample, consists of 24 school districts (and within them, nearly 100 public schools) in which interviews were administered in person during on-site visits lasting 2 to 5 days.

4. On-site interviews with respondents in selected state capitals and a small number of LEAs within those states--This "special purpose" site visit sample of 8 states and 24 districts (and within these districts' boundaries, nearly 70 private schools) was selected purposively to allow us to pursue four special issues: intergovernmental relations, private school student participation, parent and citizen involvement in education, and approaches to evaluation. Site visits lasted 2 to 5 days at the local level and 1 to 2 days at state level.

## Relationship Among Samples

All four samples were based on a common stratification framework, described later in this appendix. This made it possible to relate the findings from one data-set to another. Furthermore, decisions about the number of sites allocated to each stratum rested on the same rationale--that of representing districts both in proportion to their numbers and, even more importantly, to the numbers of students they serve. Figure E-1 schematically illustrates the overlap among samples. Because the representative site visit sample yielded data that helped refine the mail survey instrument, and also (later) allowed the mail survey results to be explored and verified, it was a subset of the mail survey sample. The telephone survey sample was similarly embedded in the mail survey sample because it was intended to amplify data from district mail questionnaires by telephone interviews with school-level personnel. The special purpose sample overlapped relatively little with the other three samples, both to eliminate the burdens that such overlap would entail and because the special issues addressed by this data collection effort required more freedom in choice of districts or states (so as to ensure variation on variables related to these issues) than would be the case if the sample had to conform to the technical requirements of the other three. The special purpose sample overlapped the mail survey sample only in the stratum of largest districts, where all cases receive mail questionnaires (see sample discussion below).

## Data Collection Procedure and Schedule

Data collection occurred during the 1984-85 school year. Figure E-2 shows the timing of the major data collection events for each sample. It also shows that information gathered through site visits were used to refine the instruments for the mail and telephone surveys. Telephone interviews were conducted by an experienced firm with appropriate telephone equipment, supervisors, trained staff, and quality control procedures under subcontract to SRI.

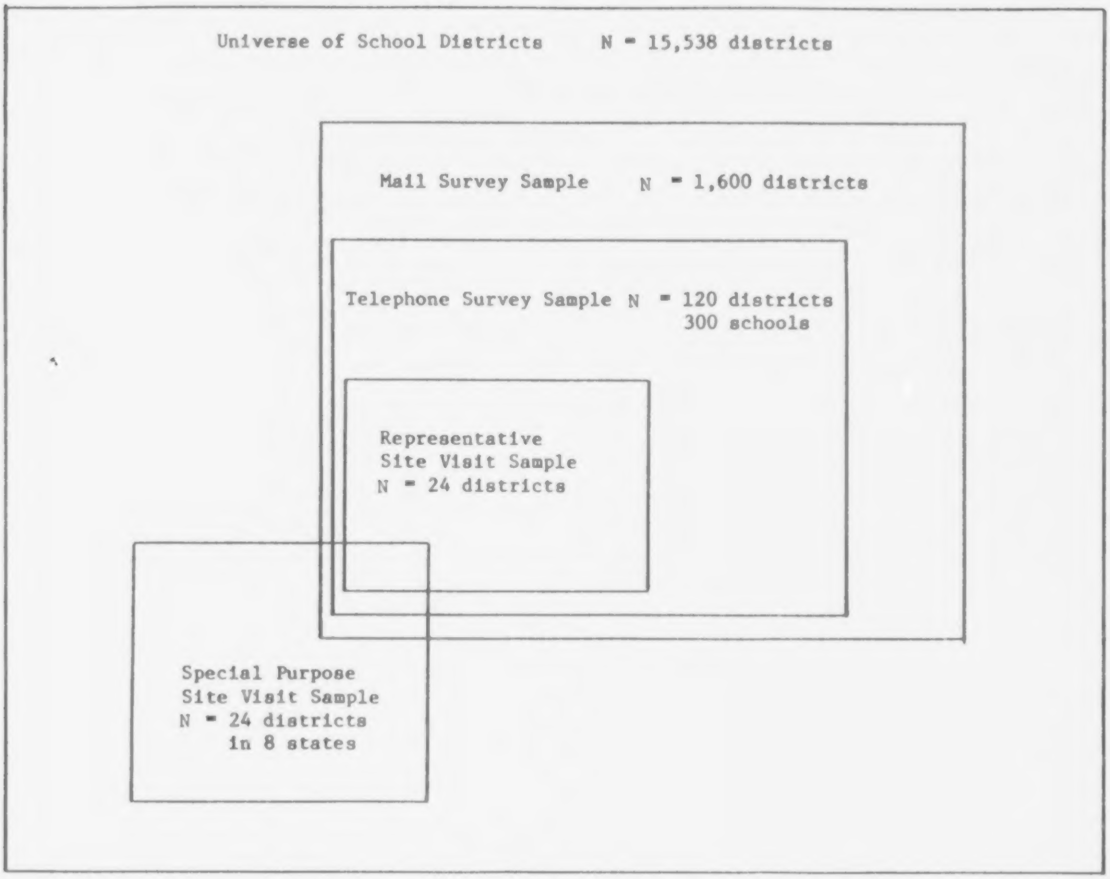
Universe of School Districts N = 15,538 districts
Mail Survey Sample N = 1,600 districts
Telephone Survey Sample N = 120 districts
300 schools
Representative
Site Visit Sample
N = 24 districts
Special Purpose
Site Visit Sample
N = 24 districts
in 8 states

Figure E-1 RELATIONSHIP AMONG STUDY SAMPLES

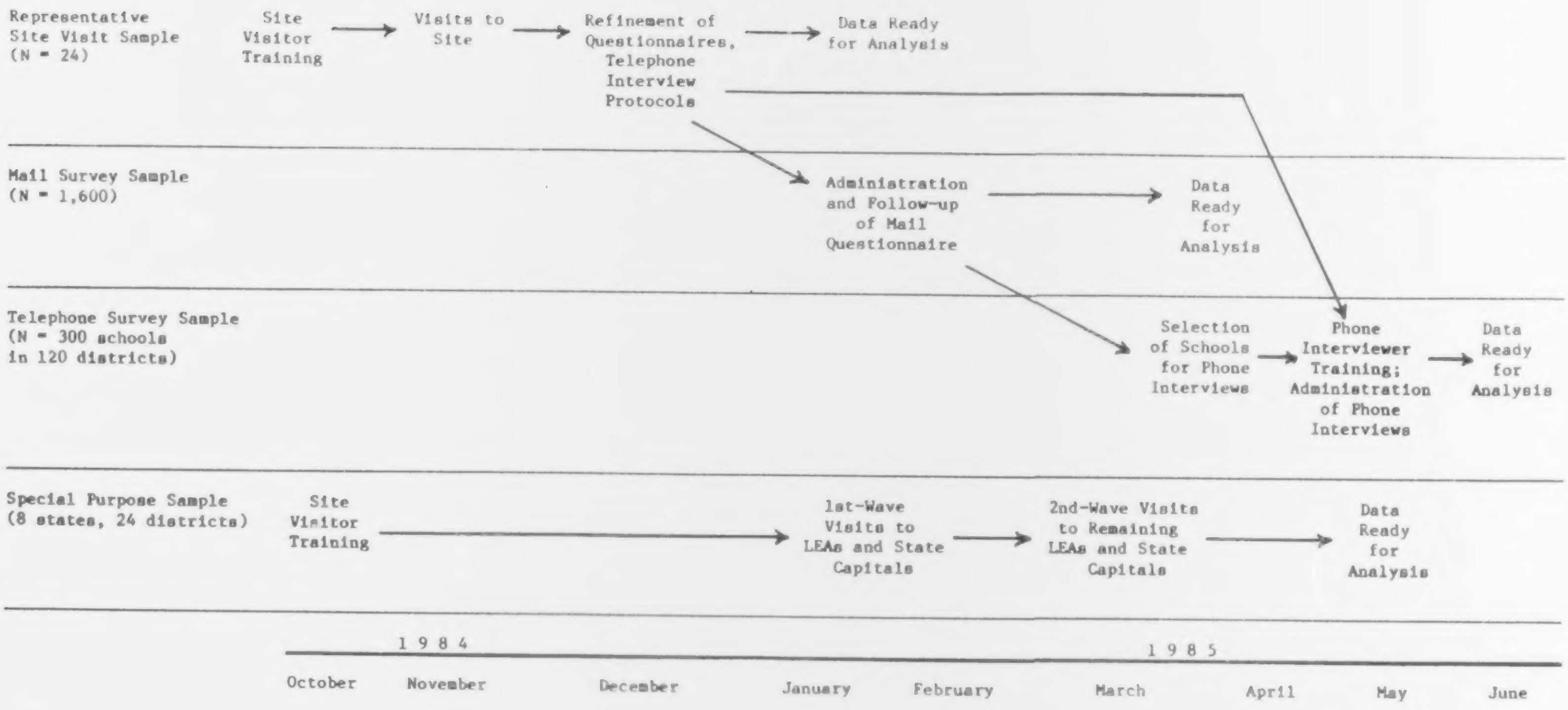
Representative Site Visit Sample (N = 24)
Site Visitor Training
Visits to Site
Refinement of Questionnaires, Telephone Interview Protocols
Data Ready for Analysis
Mail Survey Sample (N = 1,600)
Administration and Follow-up of Mail Questionnaire
Data Ready for Analysis
Telephone Survey Sample (N = 300 schools in 120 districts)
Selection of Schools for Phone Interviews
Phone Interviewer Training; Administration of Phone Interviews
Data Ready for Analysis
Special Purpose Sample (8 states, 24 districts)
Site Visitor Training
1st-Wave Visits to LEAs and State Capitals
2nd-Wave Visits to Remaining LEAs and State Capitals
Data Ready for Analysis
1984
1985
October
November
December
January
February
March
April
May
June

Figure E-2 TIMING OF DATA COLLECTION EVENTS

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Interviews were conducted by 2-person teams during site visits that lasted between 2 and 5 days per site. Not all interviews were done by the two site visitors together, which meant that 15 to 20 interviews could be comfortably managed in a typical 2-day site visit. The approach to interviewing at the state level was the same as for the local level site visits, only the time on site (in the state capital) was briefer--from 1 to 2 days each. In that amount of time, we were able to complete 8 to 12 interviews.

All data collection was completed by the end of the 1984-85 school year.

## Instrumentation

Data collection instruments were designed with the following considerations in mind.

- Structured instrumentation: the instruments comprised close-ended items wherever possible. Mail and telephone surveys were designed to yield reliable quantifiable data through closed-ended items. Items in the site visit instruments were structured, with preestablished response categories, but were administered in a way that permitted open-ended response as appropriate.
- Efficiency: instruments were designed to streamline the data collection and analysis processes (e.g., with pre-coded response categories throughout; with an instrument refinement process built into the data collection sequence).
- Close inter-relationship of instrument sets: a common "core" of items were used across instrument sets, to facilitate relating the findings from one survey to another.
- Multiple respondents: with the exception of the mail questionnaire, each set of instruments was designed for multiple respondents, both to reduce burdens on any particular respondent and to capture differences in role group perceptions. Multiple respondents also allowed the study to control for response bias.

A set of instruments was developed for each of the four data collection efforts (for the special purpose survey, there are in fact two instrument sets, one for local interviews and one for interviews at state level). In addition, a set of forms were developed for collecting and coding information from available sources. These data were used in all four data collection efforts. For each instrument set, we briefly describe:

- The purpose of information collection
- The topical emphases
- The types and number of respondents from each site.

Background information forms--To permit analysis of data by district and state characteristics, there were several Background Information forms for collecting information from available data sources, in addition to the basic survey data collection instruments. The purpose of these forms was to record information about districts and the states in which they were located. This enabled analysis of Chapter 2 activities and effects by district characteristics. The forms were filled in by SRI staff and should be no burden on survey respondents. In addition to the background information forms, there were brief pre-site visit telephone interview protocols to elicit district and school background data that were not available from existing sources. The few background information items requested of respondents on the survey instruments themselves appear for two reasons only: (1) to determine the validity of responses to certain items (e.g., where we ask how long a respondent has been with the district in order to determine validity of his answers regarding the shift to Chapter 2 from the antecedent programs); and (2) to get information about the community (e.g., of parent/citizen participation in education issues) that was not available from other sources.

District mail questionnaire--The purpose of the mail survey was to allow us to make accurate national estimates of the effects of Chapter 2 on school districts. The questionnaire addressed all research questions under the eight study topics and, thus, constituted the core of information for the study (see Appendix F). Information collected through the questionnaire permitted a description of the nationwide distribution of activities and operations at the local level. Although detailed information about the educational programs funded by Chapter 2 was left to the telephone and on-site interview instruments, the major categories in which we described the activities appeared on this questionnaire.

The questionnaire was filled out by the district's Chapter 2 coordinator. (Brief screening calls were made to each of the 1,600 districts to determine who the current Chapter 2 coordinator was.) There were three versions of the questionnaire instrument, created by matrix sampling items to reduce the instrument's length. The matrix sampling scheme (described in more detail later in this appendix) allowed any item to be correlated with any other and ensured that every item was asked of at least two-thirds of the responding districts.

School telephone protocol--The purpose of the telephone survey was to describe the effects of Chapter 2 on educational activities and related administrative functions at the school level for three types of common Chapter 2-supported programs: computer applications, gifted-and-talented programs, and remedial programs. Given the breadth of educational program decisions permissible under the block grant and the variability in local needs, district officials' lists of the uses of Chapter 2 funds were inadequate to describe implementation or effects at the school level. The telephone survey sample was completely embedded within the mail survey sample so that we could use what was learned at the district level to draw an effective sample of schools and, thus, elaborate on responses to the mail questionnaires.

Respondents were the school principal and whoever he/she designated as the most knowledgeable about the Chapter 2 activity: either a teacher, librarian, or other staff member, depending on which type of program the Chapter 2 money was used for.

Representative sample site visits--The purpose of the representative sample site visits was twofold: (1) to contribute to the refinement of mail and telephone survey instruments, and (2) to explore the study topics addressed by these instruments in greater depth. Structured interview protocols were developed for each type of respondent, containing items that corresponded to items in the mail questionnaire and telephone protocol. However, interview items encouraged open-ended responses; site visitors probed responses in a flexible manner, in many cases departing from structured items where these did not apply or where necessary to explore a topic more fully.

Research questions under four of the study topics--educational services, local program administration, funds allocation and expenditure, and local decisionmaking--were addressed in detail by this set of instruments. The other four study topics were investigated by only a few items in protocols for the most directly knowledgeable respondents (the special purpose sample site visits concentrated in these areas). The following respondents were interviewed in each site:

| Respondents | Average # per site |
|---|---|
| Chapter 2 Coordinator | 1 |
| Superintendent | 1 |
| School Board Chairperson | 1 |
| Business Officer | 1 |
| Chapter 2 Project Staff (district-level) | 1 to 2 |
| Public School Principal | 4 |
| Chapter 2 Project Staff (school-level) | 6 to 8 |

Special purpose sample site visits--The purpose of these site visits was to get information on the following issues: (1) intergovernmental relations including monitoring, technical assistance, and the nature of the influence that federal and state agencies have on local districts' actions; (2) private school student participation; (3) parent and citizen involvement; and (4) program evaluation.

Interview protocols for the special purpose sample resembled those for the small representative sample, only with the topical emphases reversed: the majority of the items deal with these special issue topics, not with the administration, decisionmaking, and educational services for public school students.

Because of the topical emphasis of this sample, there were some differences in the types of respondents interviewed. The following respondents were interviewed in each site:

| Respondents | Average # per site |
|---|---|
| Chapter 2 Coordinator | 1 |
| Superintendent | 1 |
| School Board Chairperson | 1 |
| Business Officer | 1 |
| Chapter 2 Evaluator | 1 |
| Private School Principal | 4 to 6 |
| Local Private Schools Representative | 1 to 2 |
| Local Citizen/Parent Representative | 2 |

Interview protocols for the state level paralleled those at the local level. Many items were common to both levels, with amendments to reflect the state's role as intermediary in the intergovernmental chain of influence affecting Chapter 2. The state interviews were not intended to yield a complete picture of state-level implementation of Chapter 2 (many research studies have done an excellent job of this), but rather to increase understanding of local events and of those phenomena that imply a relation between state and local levels.

Respondents came chiefly from the State Education Agency (SEA), though a few others outside the SEA are especially pertinent. The following respondents were interviewed:

SEA Chapter 2 Coordinator (and staff, where appropriate)
SEA Deputy Superintendent
SEA Chapter 2 Evaluator
SEA Nonpublic Liaison
Representatives of State-Level Private School Organizations
State Chapter 2 Advisory Committee Member
Member(s) of the Educational Policy Community Outside the SEA (e.g., Legislative Staff, State Board of Education Staff)

## Samples

We selected districts for all study samples from the universe of LEAs serving students in the United States (excluding Puerto Rico and Pacific and Caribbean territories). Two of the four samples (the mail and telephone survey samples) were selected statistically; the first of these was used to make national estimates. These are described in detail below. The other two samples (representative and special purpose site visit samples) were chosen from within the cells of the stratification grid created for the first two, but purposive criteria largely determined the actual selection of sites.

### Mail Survey Sample

The mail survey universe (all LEAs in the United States) was stratified for five principal reasons: (1) to increase the precision of estimates by reducing within-cell variance, (2) to ensure that low-frequency types of LEAs (e.g., large city districts) were adequately represented in the sample, (3) to permit comparisons to be made with the findings of other research, (4) to provide separate data and estimates for each of the categories or subpopulations (and their combinations) that are created by the stratifying variables, and (5) to make the study responsive to concerns voiced in policy debate (e.g., differential effects of federal policies on particular regions, LEAs of differing size, etc.). The first of these reasons is especially important, due to the great diversity of sites in the universe of local school districts.

The three stratifying variables were region, district size (enrollment), and level of antecedent program funding per pupil. These were defined on the basis of conceptual soundness and likelihood of providing a gain in precision over simple random sampling. These variables made it possible to group districts more homogeneously with respect to factors that make a difference in Chapter 2 implementation--e.g., level of antecedent program funding per pupil distinguishes sites that were likely to gain or lose funds under the block grant.

The three variables generated a 60-celled stratification grid into which the entire universe can be fit. The distribution of LEAs and the proportion of students accounted for by all cells are displayed in Table E-1 below. This grid was the foundation for all samples in the study.

Other variables (urban/rural status, district grade span, percentage of particular ethnic groups, instructional dollars per pupil, and district poverty level) were considered to determine whether the resulting sample would accurately reflect factors that influence the local impacts of Chapter 2 (such as the "high cost factors" that play a large role in state allocation formulas). Where necessary, these factors were used as substratifying variables, as described in the section below.

Selecting the Sample--The 1,600 sites in the mail survey sample were allocated to cells according to three basic criteria:

- The distribution of districts among strata and cells reflected the underlying distribution of students as much as possible, consistent with the two other criteria below.
- Sufficient numbers of districts were retained in each stratum and cell for the major types of analyses (most of which take the district as the unit of analysis).
- Potential problems in developing reliable estimates were avoided as much as possible (e.g., by not including large districts that account for a large proportion of variance on any variable).

Although the actual process was much less sequential, the sampling allocation decisions can be summarized as follows. First, the 1,600 sites were allocated among size strata so that: (1) a "certainty stratum" of the Very Large districts was created; (2) half of the Large districts were included; (3) the remaining sample sites were distributed among the other strata in rough proportion to the number of students contained in each cell. The net effect of these decisions was to ensure a very high proportion of larger districts and low proportion of small districts.

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### Table E-1 SAMPLING FRAME

| | | Northeast | | | | Southeast | | | | Central | | | | West/Southwest | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | |
| Enrollment Size | | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | TOTAL |
| VERY LARGE | (cell no.) | (1) | (2) | (3) | | (4) | (5) | (6) | | (7) | (8) | (9) | | (10) | (11) | (12) | | |
| 25,000+ | N | 8 | 4 | 3 | 15 | 27 | 22 | 14 | 63 | 7 | 5 | 13 | 25 | 37 | 8 | 15 | 60 | 163 |
| | % LEAs | 0.0 | 0.0 | 0.0 | 0.1 | 0.2 | 0.1 | 0.1 | 0.4 | 0.0 | 0.0 | 0.0 | 0.2 | 0.2 | 0.0 | 0.1 | 0.4 | 1.1 |
| | % Students | 1.4 | 2.9 | 0.7 | 4.9 | 3.9 | 2.8 | 1.5 | 8.2 | 1.5 | 1.6 | 2.0 | 4.0 | 4.1 | 2.1 | 3.8 | 8.6 | 25.7 |
| LARGE | (cell no.) | (13) | (14) | (15) | | (16) | (17) | (18) | | (19) | (20) | (21) | | (22) | (23) | (24) | | |
| 10,000-24,999 | N | 31 | 20 | 19 | 70 | 75 | 34 | 15 | 124 | 41 | 33 | 21 | 95 | 131 | 19 | 27 | 177 | 466 |
| | % LEAs | 0.2 | 0.1 | 0.1 | 0.5 | 0.5 | 0.2 | 0.1 | 0.8 | 0.0 | 0.2 | 0.1 | 0.6 | 0.8 | 0.1 | 0.2 | 1.1 | 3.0 |
| | % Students | 1.1 | 0.7 | 0.7 | 2.5 | 2.8 | 1.3 | 0.5 | 4.6 | 1.4 | 1.2 | 0.8 | 3.4 | 5.0 | 0.7 | 1.1 | 6.8 | 17.3 |
| MEDIUM | (cell no.) | (25) | (26) | (27) | | (28) | (29) | (30) | | (31) | (32) | (33) | | (34) | (35) | (36) | | |
| 2,500-9,999 | N | 552 | 169 | 108 | 829 | 401 | 214 | 99 | 714 | 602 | 144 | 99 | 845 | 489 | 74 | 76 | 639 | 3027 |
| | % LEAs | 3.6 | 1.1 | 0.7 | 5.3 | 2.6 | 1.4 | 0.6 | 4.6 | 3.0 | 0.9 | 0.6 | 5.4 | 3.1 | 0.5 | 0.5 | 4.1 | 19.4 |
| | % Students | 6.0 | 1.9 | 1.3 | 9.2 | 5.1 | 2.5 | 1.3 | 8.9 | 6.4 | 1.6 | 1.1 | 9.2 | 6.0 | 0.9 | 1.0 | 7.8 | 35.1 |
| SMALL | (cell no.) | (37a) | (38a) | (39a) | | (40a) | (41a) | (42a) | | (43a) | (44a) | (45a) | | (46a) | (47a) | (48a) | | |
| 600-2,499 | N | 914 | 191 | 105 | 1210 | 265 | 208 | 126 | 599 | 1754 | 404 | 141 | 2299 | 965 | 203 | 93 | 1261 | 5369 |
| | % LEAs | 5.9 | 1.2 | 0.7 | 7.8 | 1.7 | 1.3 | 0.8 | 3.9 | 11.3 | 2.6 | 0.9 | 14.8 | 6.2 | 1.3 | 0.6 | 8.1 | 34.6 |
| | % Students | 3.2 | 0.8 | 0.4 | 4.3 | 1.0 | 0.8 | 0.5 | 2.3 | 5.6 | 1.3 | 0.4 | 7.4 | 3.1 | 0.6 | 0.3 | 4.0 | 18.0 |
| | (cell no.) | (37b) | (38b) | (39b) | | (40b) | (41b) | (42b) | | (43b) | (44b) | (45b) | | (46b) | (47b) | (48b) | | |
| 0-599 | N | 680 | 145 | 55 | 880 | 60 | 125 | 40 | 225 | 1973 | 643 | 252 | 2868 | 1600 | 464 | 471 | 2535 | 6508 |
| | % LEAs | 4.4 | 1.0 | 0.4 | 5.7 | 0.4 | 0.8 | 0.3 | 1.4 | 12.7 | 4.1 | 1.6 | 18.5 | 10.3 | 3.0 | 3.0 | 16.3 | 41.9 |
| | % Students | 0.5 | 0.1 | 0.0 | 0.6 | 0.1 | 0.1 | 0.0 | 0.2 | 1.1 | 0.4 | 0.1 | 1.7 | 0.9 | 0.3 | 0.2 | 1.4 | 3.9 |
| TOTALS | N | 2185 | 529 | 290 | 3004 | 828 | 603 | 294 | 1725 | 4377 | 1229 | 526 | 6132 | 3222 | 768 | 682 | 4672 | 15,533 |
| | % LEAs | 14.1 | 3.4 | 1.9 | 19.3 | 5.3 | 3.9 | 1.9 | 11.1 | 28.2 | 7.9 | 3.4 | 39.5 | 20.1 | 4.9 | 4.4 | 30.0 | 100% |
| | % Students | 12.2 | 6.4 | 3.1 | 21.5 | 12.9 | 7.5 | 3.8 | 24.2 | 16.0 | 6.1 | 4.4 | 25.7 | 19.1 | 4.6 | 6.4 | 28.6 | 100% |

Second, within size strata (except the certainty stratum, in which all sites were included), sample sites were allocated to region such that (1) there were approximately the same number of sites from each region, thus guarding against undersampling from the Northeast and Southeast; (2) an excessive number of very small West/Southwest and Central sites was avoided.

Third, within the size-by-region strata, sites were allocated in general proportion to the number of students represented among districts within the cell, at the same time retaining a sufficient number of sites in the cells with few students.

Fourth, the result of the random selection process within cells were checked to determine how well sample statistics matched population parameters for selected district background variables. The fit was nearly perfect for all but a few cells in the smallest two strata. Adjustments in these strata were made to increase sample sizes in these cells (by reallocating some of the sites from the "medium" size stratum) to the point that sample statistics for each cell reliably represented the population on successive random draws.

The results of the allocation process are displayed in Table E-2. Overall sampling fractions for size-by-region strata are shown.

Matrix sampling of items--To reduce the length of the questionnaire, items were matrix sampled to create three versions that were randomly assigned to districts within cells, so that an approximately equal number of districts in each cell received each version. Versions were created by combining four blocks of items so that each item went to at least two-thirds of the districts and that any item could be correlated with any other (items that were most likely to be correlated with one another were grouped in the same block of items). The versions thus contained:

Table E-2 ALLOCATION OF MAIL SURVEY SITES TO CELLS OF THE STRATIFICATION GRID

| | | Northeast | | | | Southeast | | | | Central | | | | West/Southwest | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | |
| Enrollment Size | | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | TOTAL |
| VERY LARGE | (cell no.) | (1) | (2) | (3) | | (4) | (5) | (6) | | (7) | (8) | (9) | | (10) | (11) | (12) | | |
| 25,000+ | Sample n | 8 | 4 | 3 | 15 | 27 | 22 | 14 | 63 | 7 | 5 | 13 | 25 | 37 | 8 | 15 | 60 | 161 |
| | Pop. N | 8 | 4 | 3 | 15 | 27 | 22 | 14 | 63 | 7 | 5 | 13 | 25 | 37 | 8 | 15 | 60 | 163 |
| | Sampling Fraction | | | | 1:1 | | | | 1.1 | | | | 1.1 | | | | 1:103 | 1:103 |
| LARGE | (cell no.) | (13) | (14) | (15) | | (16) | (17) | (18) | | (19) | (20) | (21) | | (22) | (23) | (24) | | |
| 10,000- | Sample n | 19 | 14 | 18 | 51 | 26 | 20 | 15 | 61 | 22 | 22 | 19 | 63 | 25 | 16 | 20 | 61 | 236 |
| 24,999 | Pop. N | 31 | 20 | 19 | 70 | 75 | 34 | 15 | 124 | 41 | 33 | 21 | 95 | 131 | 19 | 27 | 177 | 466 |
| | Sampling Fraction | | | | 1:1.4 | | | | 1:2 | | | | 1:1.5 | | | | 1:2.9 | 1:2 |
| MEDIUM | (cell no.) | (25) | (26) | (27) | | (28) | (29) | (30) | | (31) | (32) | (33) | | (34) | (35) | (36) | | |
| 2,500- | Sample n | 100 | 36 | 27 | 163 | 90 | 40 | 26 | 156 | 100 | 40 | 25 | 165 | 93 | 26 | 26 | 145 | 629 |
| 9,999 | Pop. N | 552 | 169 | 108 | 829 | 401 | 214 | 99 | 714 | 602 | 144 | 99 | 845 | 489 | 74 | 76 | 639 | 3027 |
| | Sampling Fraction | | | | 1:5.1 | | | | 1:4.6 | | | | 1:5.1 | | | | 1:4.4 | 1:4.8 |
| SMALL | (cell no.) | (37a) | (38a) | (39a) | | (40a) | (41a) | (42a) | | (43a) | (44a) | (45a) | | (46a) | (47a) | (48a) | | |
| 600- | Sample n | 40 | 25 | 15 | 80 | 25 | 20 | 20 | 65 | 60 | 34 | 25 | 119 | 35 | 21 | 15 | 71 | 335 |
| 2,499 | Pop. N | 914 | 191 | 105 | 1210 | 265 | 208 | 126 | 599 | 1754 | 404 | 141 | 2299 | 965 | 203 | 93 | 1261 | 5369 |
| | Sampling Fraction | | | | 1:15.1 | | | | 1:9.2 | | | | 1:19.3 | | | | 1:17.8 | 1:16 |
| VERY SMALL | (cell no.) | (37b) | (38b) | (39b) | | (40b) | (41b) | (42b) | | (43b) | (44b) | (45b) | | (46b) | (47b) | (48b) | | |
| 0-599 | Sample n | 14 | 25 | 15 | 54 | 15 | 15 | 15 | 45 | 19 | 15 | 25 | 59 | 25 | 25 | 25 | 75 | 233 |
| | Pop. N | 680 | 145 | 55 | 880 | 60 | 125 | 40 | 225 | 1973 | 643 | 252 | 2868 | 1600 | 464 | 471 | 2535 | 6508 |
| | Sampling Fraction | | | | 1:16.3 | | | | 1:5 | | | | 1:48.6 | | | | 1:33.8 | 1:27.9 |
| TOTALS | Sample n | 180 | 104 | 78 | 363 | 183 | 117 | 90 | 390 | 208 | 116 | 107 | 431 | 213 | 96 | 101 | 410 | 1,594 |
| | Pop. N | 2185 | 529 | 290 | 3004 | 828 | 603 | 294 | 1725 | 4377 | 1229 | 526 | 6132 | 3222 | 768 | 682 | 4672 | 15,533 |
| | Sampling Fraction | | | | 1:8.3 | | | | 1:4.4 | | | | 1:14.2 | | | | 1:11.4 | 1:9.7 |

Version A - Core items
Block I
Block II

Version B - Core items
Block II
Block III

Version C - Core items
Block I
Block III

Responding Sample and Response Rates--Table E-3 summarizes the proportions of questionnaires returned within cells defined by the three stratifying variables. The proportions are comparable across all cells in this grid, with a slight trend in the response pattern apparent: very small districts were somewhat less willing (or able) to respond than were large and very large districts. Table E-4 gives the actual responding n by cell and the adjusted sampling fraction.

Responding districts were also distributed fairly evenly across the four regions, the three versions of the questionnaire, and individual states. The four regions are represented in almost equal proportion.

| Region | Proportion of Questionnaires Returned |
|---|---|
| West | 74.7% |
| Central | 80.0% |
| Southeast | 81.2% |
| Northeast | 77.8% |

As were the three versions of the questionnaire:

| Version | Proportion of Questionnaires Returned |
|---|---|
| I | 80.0% |
| II | 78.6% |
| III | 75.8% |

## Table E-3

## PROPORTIONS OF QUESTIONNAIRES RETURNED BY CELL IN SAMPLING GRID

| District Size (Enrollment Range) | Level of Antecedent Funding Per Pupil | | | |
|---|---|---|---|---|
| | Low[a] | Medium | High | Total |
| VERY LARGE (greater than 25,000) | 85.7%[b] | 84.6% | 80.0% | 83.9% |
| LARGE (10,000 - 24,999) | 81.5 | 88.9 | 79.2 | 83.1 |
| MEDIUM (2,500 - 9,999) | 80.4 | 79.6 | 76.0 | 79.5 |
| SMALL (600 - 2,499) | 79.4 | 78.0 | 77.3 | 78.5 |
| VERY SMALL (less than 600) | 67.1 | 60.0 | 75.0 | 67.4 |
| TOTAL | 79.6 | 77.6 | 77.4 | 78.2% |

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[a] Low = less than $5/student; medium = $5 to $10/student; high = greater than $10/student.

[b] Percent of questionnaires within this cell returned.

Table E-4 SURVEY RETURNS BY CELLS OF THE STRATIFICATION GRID

| | | Northeast | | | | Southeast | | | | Central | | | | West/Southwest | | | | |
|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|---|
| | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | Antecedent $/Pupil | | | | |
| Enrollment Size | | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | LOW | MID | HIGH | Total Region | TOTAL |
| VERY LARGE | (cell no.) | (1) | (2) | (3) | | (4) | (5) | (6) | | (7) | (8) | (9) | | (10) | (11) | (12) | | |
| 25,000+ | Sample n | 6 | 2 | 2 | 10 | 23 | 18 | 10 | 51 | 4 | 5 | 12 | 21 | 33 | 8 | 12 | 53 | 135 |
| | Pop. N | 8 | 4 | 3 | 15 | 27 | 22 | 14 | 63 | 7 | 5 | 13 | 25 | 37 | 8 | 15 | 60 | 163 |
| | Sampling Fraction | 1:1.3 | 1:2 | 1:1.5 | 1:1.5 | 1:1.2 | 1:1.2 | 1:1.4 | 1:1.2 | 1:1.8 | 1:1 | 1:1.1 | 1:2 | 1:1.1 | 1:1 | 1:1.3 | 1:1.1 | 1:1.2 |
| LARGE | (cell no.) | (13) | (14) | (15) | | (16) | (17) | (18) | | (19) | (20) | (21) | | (22) | (23) | (24) | | |
| 10,000- | Sample n | 16 | 10 | 14 | 40 | 20 | 19 | 13 | 52 | 19 | 20 | 16 | 55 | 20 | 15 | 15 | 50 | 197 |
| 24,999 | Pop. N | 31 | 20 | 19 | 70 | 75 | 34 | 15 | 124 | 41 | 33 | 21 | 95 | 131 | 19 | 27 | 177 | 466 |
| | Sampling Fraction | 1:1.9 | 1:2 | 1:1.4 | 1:1.8 | 1:3.8 | 1:1.8 | 1:1.2 | 1:2.4 | 1:2.2 | 1:1.7 | 1:1.3 | 1:1.7 | 1:6.6 | 1:1.3 | 1:1.8 | 1:3.5 | 1:2.4 |
| MEDIUM | (cell no.) | (25) | (26) | (27) | | (28) | (29) | (30) | | (31) | (32) | (33) | | (34) | (35) | (36) | | |
| 2,500- | Sample n | 75 | 28 | 24 | 127 | 75 | 32 | 22 | 129 | 87 | 30 | 15 | 132 | 71 | 23 | 18 | 112 | 500 |
| 9,999 | Pop. N | 552 | 169 | 108 | 829 | 401 | 214 | 99 | 714 | 602 | 144 | 99 | 845 | 489 | 74 | 76 | 639 | 3027 |
| | Sampling Fraction | 1:7.4 | 1:6 | 1:4.5 | 1:6.5 | 1:5.3 | 1:6.7 | 1:4.5 | 1:5.5 | 1:6.9 | 1:4.8 | 1:6.6 | 1:6.4 | 1:6.9 | 1:3.2 | 1:4.1 | 1:5.7 | 1:6.1 |
| SMALL | (cell no.) | (37a) | (38a) | (39a) | | (40a) | (41a) | (42a) | | (43a) | (44a) | (45a) | | (46a) | (47a) | (48a) | | |
| 600- | Sample n | 29 | 19 | 13 | 61 | 24 | 15 | 16 | 55 | 48 | 27 | 19 | 94 | 26 | 17 | 10 | 53 | 263 |
| 2,499 | Pop. N | 914 | 191 | 105 | 1210 | 265 | 208 | 126 | 599 | 1754 | 404 | 141 | 2299 | 965 | 203 | 93 | 1261 | 5369 |
| | Sampling Fraction | 1:31.5 | 1:10.1 | 1:8.1 | 1:19.8 | 1:11 | 1:13.9 | 1:7.9 | 1:.10.9 | 1:36.5 | 1:15 | 1:7.4 | 1:24.5 | 1:37.1 | 1:11.9 | 1:9.3 | 1:23.8 | 1:20.4 |
| VERY SMALL | (cell no.) | (37b) | (38b) | (39b) | | (40b) | (41b) | (42b) | | (43b) | (44b) | (45b) | | (46b) | (47b) | (48b) | | |
| 0-599 | Sample n | 9 | 16 | 8 | 33 | 8 | 7 | 10 | 25 | 15 | 11 | 22 | 48 | 17 | 14 | 20 | 51 | 157 |
| | Pop. N | 680 | 145 | 55 | 880 | 60 | 125 | 40 | 225 | 1973 | 643 | 252 | 2868 | 1600 | 464 | 471 | 2535 | 6508 |
| | Sampling Fraction | 1:75.5 | 1:9.1 | 1:6.9 | 1:26.7 | 1:7.5 | 1:17.9 | 1:4 | 1:9 | 1:132 | 1:58.5 | 1:11.5 | 1:59.8 | 1:94.1 | 1:33.1 | 1:23.6 | 1:49.7 | 1:41.5 |
| TOTALS | Sample n | 135 | 75 | 61 | 271 | 150 | 91 | 71 | 312 | 173 | 93 | 84 | 350 | 167 | 77 | 75 | 319 | 1,252 |
| | Pop. N | 2185 | 529 | 290 | 3004 | 828 | 603 | 294 | 1725 | 4377 | 1229 | 526 | 6132 | 3222 | 768 | 682 | 4672 | 15,533 |
| | Sampling Fraction | 1:16.2 | 1:7.1 | 1:4.8 | 1:11.1 | 1:5.5 | 1:6.6 | 1:4.1 | 1:5.5 | 1:25.3 | 1:13.2 | 1:6.3 | 1:17.5 | 1:19.3 | 1:10 | 1:9.1 | 1:14.6 | 1:12.4 |

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In all but four states, two-thirds or more of the questionnaires mailed to districts in the state were completed; we received from most states between 70 and 90% of the questionnaires, as indicated below:

| Proportion of Questionnaires Within State Returned | Number of States |
|---|---|
| 90% or more | 9 |
| Between 80 and 89% | 14 |
| Between 70 and 79% | 17 |
| Between 60 and 69% | 10 |
|  | 50 |

Weighting--Because sites had an unequal probability of being selected into the sample depending on the stratification cell in which they fell, sites were weighted by the inverse of the cell sampling fraction (adjusted to reflect nonresponse, as shown in Table E-4) to create population estimates. (Individual LEA records were weighted prior to calculation of any population estimates.)

The Precision of Estimates--Ignoring stratification, the responding sample was sufficiently large to estimate parameters to within ± 3.9% of true population value, at the .05 level of confidence. For those variables gathered in 800 cases only, assuming a similar response rate and confidence level, estimates within ± 4.7% of true population value were possible. However, because the actual precision of estimates could vary depending on the cases included in each analysis, we calculated standard errors for each estimate, as presented in Appendix A.

## Telephone Survey Sample

A two-stage cluster sample was constructed, with approximately 120 districts as the primary sampling unit and approximately 300 schools as the second-stage sampling unit. The districts were chosen as a random subset, within strata, of the mail survey sample. Schools were selected, randomly, within strata defined by level of school (elementary, middle/junior high, and high school) and by selected school-level Chapter 2 activities (computer applications, gifted-and-talented programs, remedial programs). The data necessary to determine the incidence of activity types among districts or schools, and to identify the appropriate respondents in particular schools, did not exist at population level, but were obtained through the mail questionnaire and by phone from the districts selected during first-stage sampling.

Sample Selection--Allocation of sites to cells took place following the administration of the mail survey and based on its data. The following guidelines were followed in the sampling process.

1. A set of activities were chosen representing a range of Chapter 2 uses that reflected important policy concerns.
2. A minimum of two schools per district were taken for each type of activity (except in the smallest districts, where one school was sufficient).
3. In larger, more complex districts, more schools per activity were included, to reflect the greater variability across schools in the way activities are implemented. Conversely, fewer schools per activity were needed in lower strata, especially for smaller districts.
4. To maximize the number of schools per district, and hence the range of school settings within the sample, schools with more than one of the three Chapter 2-supported activities in them were taken only once (e.g., data was collected regarding only one of the activities), except where overlap was unavoidable.
5. An equal number of districts were selected for each activity category to maximize the number of districts in the sample; districts taken within one activity category were not chosen for another activity.
6. Following the above allocation rules, the actual numbers of schools per district were adjusted across strata to keep the total number of schools within 300, a figure representing an approximate upper-bound resource constraint.

The process outlined above yielded a sample of approximately 300 school-level activities, located in approximately 120 school districts. A single telephone interview was done with the school-level respondent most knowledgeable about each activity. (Respondent names were gathered during a brief screening call to the school's principal.) Table E-5 summarizes the school sample by district size category.

## Representative Site Visit Sample

This site visit sample was drawn, one district each, from half the cells of the 48-celled stratification grid. Target cells were chosen to maintain overall balance among regions, enrollment strata, and antecedent funding levels. Secondary sampling criteria (state, metropolitan status, desegregation status, type of activities supported with Chapter 2 funds, district fiscal condition, and geographic location) were used to ensure that site visiting would be logistically feasible and that important variations in all study topics were included. The 24 sites selected by this process were distributed across 13 states.

The representative site visit sample was selected in several stages. First, a target number of cells from each size and region stratum was established. The distribution reflected a desire to keep the number of the largest and smallest districts proportionately smaller than the number of sites from other strata. In the largest districts, the difficulty of attaining an adequate grasp of the site within limited field work time precludes visits to many such sites. In the smallest districts, the range of activities supported by Chapter 2 is so restricted by the small amount of funding that it is neither necessary nor productive to visit many sites.

Second, within each cell of the size x region matrix, one of the three antecedent funding levels was chosen randomly such that all three levels of antecedent funding were represented twice in each region stratum and at least once in each size stratum.

Table E-5

## NUMBER OF DISTRICTS AND SCHOOLS IN TELEPHONE SURVEY SAMPLE FOR EACH ACTIVITY TYPE AND OVERALL, BY SIZE STRATA

| District Size Category (Enrollment) | | Selected Type of Activity Supported by Chapter 2: Gifted and Talented | Computer Applications | Remedial Basic Skills Programs | Totals: Districts | Schools |
|---|---|---|---|---|---|---|
| VERY LARGE<br>a) 3 of the largest districts (50,000 or more) | N of districts: | 1 | 1 | 1 | 3 | |
| | N of schools: | 7 | 7 | 7 | | 21 |
| b) Remaining districts (25,000-50,000) | N of districts: | 5 | 5 | 5 | 15 | |
| | N of schools: | 25 | 25 | 25 | | 75 |
| LARGE (10,000-24,999) | N of districts: | 9 | 9 | 9 | 27 | |
| | N of schools: | 27 | 27 | 27 | | 81 |
| MEDIUM (2,500-9,999) | N of districts: | 15 | 15 | 15 | 45 | |
| | N of schools: | 30 | 30 | 30 | | 90 |
| SMALL (600-2,499) | N of districts: | 6 | 6 | 6 | 18 | |
| | N of schools: | 6 | 6 | 6 | | 18 |
| VERY SMALL (less than 600) | N of districts: | 6 | 6 | 6 | 18 | |
| | N of schools: | 6 | 6 | 6 | | 18 |
| Totals | Districts: | 42 | 42 | 42 | 126 | |
| | Schools: | 101 | 101 | 101 | | 303 |

Finally, one site was chosen purposively within each of the 24 target cells in such a way that secondary sampling criteria were maximized across the full sample. Because there were fewer options among the largest districts, these were chosen first.

Sampling of Respondents and (Public) Schools Within Districts--Selection of respondents (in role categories with more than one occupant) and public schools (in all but the smallest sites) was done purposively, based on criteria described below.*

The numbers of respondents were dictated primarily by resource constraints; the types of respondents were determined on conceptual grounds. The actual choice of respondents was done purposively, in consultation with district personnel, to maximize the following criteria:

- Longevity in the district (where possible, respondents who were in the district prior to Chapter 2 were sought).
- Breadth of knowledge about the relevant interview topics (e.g., the person in XYZ school with the best overview of ABC activity in the school).
- Availability (and willingness) to be interviewed within the study's time constraints.
- Where possible, contrasting perspectives on block grant-supported activities, both to help understand the varied local perceptions of Chapter 2 effects and as a control on response bias.

The choice of public schools was also done purposively, to maximize criteria related to the telephone survey:

- Coverage of the major types of school-level activities supported by Chapter 2 funds.
- Coverage of elementary grade levels (K-8) vs. high school (9-12).
- Contrast of student populations: high vs. low aggregate levels of special needs.

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* Private schools were not visited in this sample; see discussion of Special Purpose Site Visit Sample.

The numbers of schools visited varied with the size of the district and, as with respondents, were dictated by time constraints as well as substantive considerations:

| Site Size | Elementary Schools | High Schools | Total Schools/Site |
|---|---|---|---|
| VERY LARGE | 5 | 2 | 7 |
| LARGE | 4 | 2 | 6 |
| MEDIUM | 3 | 1 | 4 |
| SMALL | 1 | 1 | 2 |

The total number of respondents selected per site reflected both the size of the district and the number of schools visited within it.

### Special Purpose Site Visit Sample

Within the stratification grid, eight states (different from the 13 states from which the previous sample was drawn) and 24 sites within them were chosen to represent nationwide variation on key state and local variables likely to influence the special study topics.

Although a sample of eight states cannot represent every possible position on more than one or two variables, the range of variation on a number of dimensions can be represented in a sample this size. The following criteria pertaining to the state and its approach to education were considered:

- Size of the state (population)
- Centralization of authority in education
- Fiscal condition and educational finance factors

- Size of the private school population
- Nature and extent of state education reforms.

State-level variables that define more directly the state's interpretation of Chapter 2 and its approach to administering the block grant were also used in selecting states:

- Chapter 2 formula: proportion of funds devoted to high-cost factors.
- Proportion of state-discretionary share devoted to nonadministrative purposes.
- Existence of state competitive grant programs under Chapter 2.
- State data collection approach.
- Participation in other Chapter 2 studies.
- Degree of gain or loss in federal assistance from antecedent programs to Chapter 2.

Two of the stratifying dimensions of the mail survey sample (district size, level of antecedent program funding per pupil) provided the framework within which a series of secondary sampling factors were considered to arrive at the final sample of school districts. One site was selected in each target cell, but so that the overall set of four (on average) sites within the state and the set of five sites in comparable cells across states showed variation on the following secondary factors:

- Loss or gain of funding from antecedent programs
- Availability and type of private schools
- Nature of student population
- Nature and level of interest group activity
- Availability of local nonfinancial resources.

Sampling of Respondents and (Private) Schools Within Districts--As with the representative site visit sample, interview respondents (in role categories with more than one occupant) and schools (in this case private schools only) were chosen purposively, in a manner analogous to the other site visit sample. The number of respondents (in comparable role groups) and schools in the special purpose site visit sample were approximately the same as described for the other site visit sample. The choice of private schools maximized criteria related to private school participation issues:

- Coverage of the major types of private schools in the district (Catholic, other denominational, nondenominational).
- Types of educational activities supported by Chapter 2 funds. (Although the range here is fairly restricted, there are some interesting variations related to computer usage and participation in staff development.)
- Participation in antecedent programs vs. new participants (schools receiving federal funds for the first time under Chapter 2).
- Coverage of elementary grade levels (K-8) vs. high school (9-12).
- Contrast of student populations: high vs. low aggregate levels of special needs.
- Nature of relationship with school district (smooth vs. contentious).

Not all these criteria applied in each site. In some cases, for example, all private schools were Catholic; in other districts Chapter 2 funds used to support services to private school students all went to the same type of activity.

# Appendix F

# MAIL SURVEY ITEMS

(Combined items pool across all three versions.
Versions in which items appeared are shown in brackets.)

# CHAPTER 2 SURVEY

## A. Background of Chapter 2 Coordinator

1. During which school years have you been the Chapter 2 coordinator for this school district?
(PLEASE CIRCLE ALL THAT APPLY) [A1/A1/A1]

    1 1982-1983
    2 1983-1984
    3 1984-1985

2. Besides Chapter 2, what else are you currently in charge of?
(PLEASE CIRCLE ALL THAT APPLY) [A2/A2/A2]

    0 Nothing else
    1 Chapter 1 program
    2 Other targeted federal/state programs
    3 Staff development
    4 Administration of regular instructional program
    5 Libraries/media centers
    6 Business, management of district budget
    7 Other (PLEASE SPECIFY)

3. Before becoming coordinator of Chapter 2, what federal or state programs were you in charge of in this district?
(PLEASE CIRCLE ALL THAT APPLY) [A3/A3/A3]

    0 None
    1 ESEA, IV-B (Library Support)
    2 ESEA, IV-C (Innovative Practices)
    3 ESAA (Desegregation Assistance)
    4 Career Education
    5 Other federal programs consolidated into Chapter 2
    6 State programs or federal programs not consolidated into Chapter 2

## B. Chapter 2 Support for Computer Hardware and Software for Public Schools

1. In the current school year, are any Chapter 2 funds being used to purchase computer hardware or software for use in the public school district?
(PLEASE CIRCLE ONE NUMBER) [B1/B1/--]

| | | |
|---|---|---|
| 0 | No, neither computer hardware or software | (PLEASE GO TO SECTION C) |
| 1 | Yes, software | |
| 2 | Yes, hardware | (PLEASE ANSWER Q.B2) |
| 3 | Yes, both software and hardware | |

2. For what purposes is this computer hardware or software mainly used?
(PLEASE CIRCLE ALL THAT APPLY) [B2/B2--]

1 For computer literacy/programming courses
2 For drill and practice in noncomputer courses
3 As a teaching tool (other than for drill and practice) in noncomputer courses
4 For instructional management
5 For administrative purposes
6 To develop software for use in the schools
7 Other (PLEASE SPECIFY)
9 Not sure

3. In what curricular or other areas is it mainly used?
(PLEASE CIRCLE ALL THAT APPLY) [B3/B3/--]

1 Arts/music 10
2 Basic skills
3 Reading, writing, language arts
4 Foreign language
5 English as a second language/bilingual
6 Math 16
7 Computer literacy/applications
8 Science
9 Social studies/history

Business education
11 Vocational education/career education
12 Health
13 Physical education
14 Multicultural awareness
15 Extracurricular
Non-instructional
17 Other (PLEASE SPECIFY)

4. In what grade levels is it mainly used?
(PLEASE CIRCLE ALL THAT APPLY) [B4/B4/--]

1 Preschool 6
2 Kindergarten
3 Primary (Grades 1-3)
4 Upper Elementary (Grades 4-6)
5 Junior High or Middle School

High School
7 District Central Office
8 Other (PLEASE SPECIFY)

5. What types of students are the principal users of this hardware or software?
(PLEASE CIRCLE ALL THAT APPLY) [B5/B5/--]

1 All types of students
2 Gifted and talented/ above average students
3 Dropouts/potential dropouts 10
4 Economically/educationally disadvantaged
5 Handicapped students
6 Limited English speaking

7 Students affected by desegregation
8 "Average" students
9 Other (PLEASE SPECIFY)
Users are not students

6. Over the course of the current school year, about what percentage of the public school students in the district will use this hardware or software?
(PLEASE CIRCLE ONE NUMBER) [B6/B6/--]

1 Less than 10%
2 10% to 25%
3 26% to 50%
4 51% to 75%

5 More than 75%
9 Not sure

## C. Chapter 2 Instructional Resource Support (Materials or Equipment, Other Than Computers, for Public School Libraries, Media Centers, and Other Departments)

1. In the current school year, are any Chapter 2 funds being used to purchase materials or equipment, other than computers, for public school libraries, media centers, or other departments? [C1/C1/--]

   1 No (PLEASE GO TO SECTION D)
   2 Yes (PLEASE ANSWER Q. C2)

2. What items are Chapter 2 funds paying for?
   (PLEASE CIRCLE ALL THAT APPLY) [C2/C2/--]

   1 Audiovisual equipment
   2 Other equipment (PLEASE SPECIFY)
   3 Textbooks
   4 Reference or other library books
   5 Audiovisual materials
   6 Other materials and supplies (PLEASE SPECIFY)
   7 Other items (PLEASE SPECIFY)
   9 Not sure

3. In what curricular or other areas are these books, materials, or equipment being used?
   (PLEASE CIRCLE ALL THAT APPLY) [C3/C3/--]

   1 A wide variety of areas
   2 Arts/music
   3 Basic skills
   4 Reading, writing, language arts
   5 Foreign language
   6 English as a second language/ bilingual
   7 Math
   8 Computer literacy/ applications
   9 Science
   10 Social studies/history
   11 Business education
   12 Vocational education/ career education
   13 Health
   14 Physical education
   15 Multicultural awareness
   16 Extracurricular
   17 Other (PLEASE SPECIFY)

## D. Chapter 2 Support for Public School Curriculum/New Program Development

1. In the current school year, are any Chapter 2 funds being used to develop curricula or new programs for public school students? [D1/D1/--]

   1 No (PLEASE GO TO SECTION E)
   2 Yes (PLEASE ANSWER Q. D2)

2. For what curricular or other areas?
(PLEASE CIRCLE ALL THAT APPLY) [D2/D2/--]

1 Arts/music
2 Basic skills
3 Reading, writing, language arts
4 Foreign language
5 English as a second language/ bilingual
6 Math
7 Computer literacy/ applications
8 Science
9 Social studies/history
10 Business education
11 Vocational education/ career education
12 Health
13 Physical education
14 Multicultural awareness
15 Extracurricular
16 Other (PLEASE SPECIFY)

3. At what grade levels are these curricula or new programs mainly aimed?
(PLEASE CIRCLE ALL THAT APPLY) [D3/D3/--]

1 Preschool
2 Kindergarten
3 Primary (Grades 1-3)
4 Upper Elementary(Grades 4-6)
5 Junior High or Middle School
6 High School
7 Other (PLEASE SPECIFY)

4. For what types of students are these mainly designed?
(PLEASE CIRCLE ALL THAT APPLY) [D4/D4/--]

1 All types of students
2 Gifted and talented/ above average students
3 Dropouts/potential dropouts
4 Economically/ educationally disadvantaged
5 Handicapped students
6 Limited English speaking
7 Students affected by desegregation
8 "Average" students
9 Other (PLEASE SPECIFY)

## E. Chapter 2 Support for Public School Student Support Services (e.g., Counseling, Testing, Dropout Prevention)

1. In the current school year, are any Chapter 2 funds being used for student support services (e.g., counseling, testing, dropout prevention) in public schools? [E1/E1/--]

   1 No (PLEASE GO TO SECTION F)
   2 Yes (PLEASE ANSWER Q. E2)

2. For which student support services? (PLEASE CIRCLE ALL THAT APPLY) [E2/E2/--]

   1 Testing or student assessment
   2 Dropout prevention
   3 Substance abuse prevention services
   4 Intergroup relations
   5 Other guidance and counseling
   6 Other (PLEASE SPECIFY)

3. What grade level students are mainly using these support services? (PLEASE CIRCLE ALL THAT APPLY) [E3/E3/--]

   1 Preschool
   2 Kindergarten
   3 Primary (Grades 1-3)
   4 Upper Elementary(Grades 4-6)
   5 Junior High or Middle School
   6 High School
   7 Other (PLEASE SPECIFY)

4. For what types of students are these mainly designed? (PLEASE CIRCLE ALL THAT APPLY) [E4/E4/--]

   1 All types of students
   2 Gifted and talented/ above average students
   3 Dropouts/potential dropouts
   4 Economically/ educationally disadvantaged
   5 Handicapped students
   6 Limited English speaking
   7 Students affected by desegregation
   8 "Average" students
   9 Other (PLEASE SPECIFY)

5. Over the course of the current school year, about what percentage of public school students will use these support services? (PLEASE CIRCLE ONE NUMBER) [E5/E5/--]

   1 Less than 10%
   2 10% to 25%
   3 26% to 50%
   4 51% to 75%
   5 More than 75%
   9 Not sure

## F. Chapter 2 Support for Other Public School Instructional Programs

1. In the current school year, are any Chapter 2 funds being used to support instructional programs for public school students (e.g., compensatory, bilingual/English as a second language, remedial, magnet schools) other than those described in previous sections? [F1/F1/--]

   1 No (PLEASE GO TO SECTION G)
   2 Yes (PLEASE ANSWER Q. F2)

2. For what curricular or other areas?
   (PLEASE CIRCLE ALL THAT APPLY) [F2/F2/--]

   1 Arts/music
   2 Basic skills
   3 Reading, writing, language arts
   4 Foreign language
   5 English as a second language/bilingual
   6 Math
   7 Computer literacy/applications
   8 Science
   9 Social studies/history
   10 Business education
   11 Vocational education/career education
   12 Health
   13 Physical education
   14 Multicultural awareness
   15 Extracurricular
   16 Other (PLEASE SPECIFY)

3. What grade level students are mainly participating in these instructional programs?
   (PLEASE CIRCLE ALL THAT APPLY) [F3/F3/--]

   1 Preschool
   2 Kindergarten
   3 Primary (Grades 1-3)
   4 Upper Elementary(Grades 4-6)
   5 Junior High or Middle School
   6 High School
   7 Other (PLEASE SPECIFY)

4. For what types of students are these instructional programs mainly designed?
   (PLEASE CIRCLE ALL THAT APPLY) [F4/F4/--]

   1 All types of students
   2 Gifted and talented/above average students
   3 Dropouts/potential dropouts
   4 Economically/educationally disadvantaged
   5 Handicapped students
   6 Limited English speaking
   7 Students affected by desegregation
   8 "Average" students
   9 Other (PLEASE SPECIFY)

5. Over the course of the current school year, about what percentage of the public school students in the district will participate in these instructional programs?
(PLEASE CIRCLE ONE NUMBER) [F5/F5/--]

1 Less than 10%
2 10% to 25%
3 26% to 50%
4 51% to 75%
5 More than 75%
9 Not sure

## G. Chapter 2 Support for Staff Development

1. In the current school year (including summer 1984), are any Chapter 2 funds being used to support staff development activities for public school staff? [G1/G1/--]

1 No (PLEASE GO TO SECTION H)
2 Yes (PLEASE ANSWER Q. G2)

2. Who is mainly participating in these programs?
(PLEASE CIRCLE ALL THAT APPLY) [G2/G2/--]

1 Superintendent (and/or area superintendents in large districts)
2 Other district-level staff or administrators
3 Principals
4 Classroom teachers
5 Specialist teachers
6 Classroom aides
7 Other service providers (e.g., psychologists, guidance counselors) (PLEASE SPECIFY)
8 Teacher trainees
9 Other (PLEASE SPECIFY)

3. With what grade levels are the participants associated?
(PLEASE CIRCLE ALL THAT APPLY) [G3/G3/--]

1 Preschool
2 Kindergarten
3 Primary (Grades 1-3)
4 Upper Elementary(Grades 4-6)
5 Junior High or Middle School
6 High School
7 District Central Staff
8 Other (PLEASE SPECIFY)

4. Over the course of the current school year, about what percentage of your district's staff will participate in these staff development programs?
(PLEASE CIRCLE ONE NUMBER) [G4/G4/--]

1 Less than 10%
2 10% to 25%
3 26% to 50%
4 51% to 75%
5 More than 75%
9 Not sure

5. What are the main purposes of these programs?
(PLEASE CIRCLE ALL THAT APPLY) [G5/G5/--]

"To provide training in..."

1 Curricular or extracurricular subject areas
2 Teaching techniques
3 General planning and administration
4 Instructional leadership
5 Interpersonal skills/personal development
6 School/classroom discipline and safety
7 Student problem areas (e.g., alcohol and substance abuse)
8 Intergroup relations
9 Dealing with special populations (e.g., handicapped, bilingual/limited English speaking, gifted and talented)
10 Implementing recommendations of state or national reform reports
11 Other (PLEASE SPECIFY)

6. In what curricular or extracurricular areas is training mainly provided? (PLEASE CIRCLE ALL THAT APPLY) [G6/G6/--]

0 None
1 Arts/music
2 Basic skills
3 Reading, writing, language arts
4 Foreign language
5 English as a second language/bilingual
6 Math
7 Computer literacy/applications
8 Science
9 Social studies/history
10 Business education
11 Vocational education/career education
12 Health
13 Physical education
14 Multicultural awareness
15 Extracurricular
16 Other (PLEASE SPECIFY)

7. In which of the following areas have Chapter 2 funds ever supported retraining of teachers?
(PLEASE CIRCLE ALL THAT APPLY) [G7/G7/--]

0 None
1 Bilingual education/ English as a second language
2 Computer literacy/ applications
3 Math
4 Science
5 Special education
6 Other (PLEASE SPECIFY)
9 Not sure

## H. Other Uses of Chapter 2 Funds for Public Schools

1. In the current school year, what else are Chapter 2 funds being used for in the public school district?
(PLEASE CIRCLE ALL THAT APPLY) [H1/H1/--]

1 Nothing else
2 Staff or school mini-grants
3 Community education
4 Administration (e.g., coordinator's salary, indirect costs)
5 Evaluation
6 Other (PLEASE SPECIFY)

## I. Allocation of Funds For Each Type of Use Under Chapter 2 and Under Antecedent Programs

1. Over the past three years, in what ways have Chapter 2 funds supported educational programs in your district?
(PLEASE CIRCLE ALL THAT APPLY) [I3/I2/B1]

1 Non-programmatic supplement to district budget (e.g., books, equipment purchases)
2 Seed money for new programs that now derive some or all of their funds from other sources
3 Full support for new programs
4 Partial support for programs initiated with funds from other sources
5 Full support for programs initiated with funds from other sources
6 Other (PLEASE SPECIFY)
9 Not sure

2. Over the past three years, to which areas did your district allocate the public school share of Chapter 2 funds (block grant funds)? (PLEASE CIRCLE ALL THAT APPLY IN EACH COLUMN)
[I2(2 col.)/--/B2(3 col.)]

| | 1982-83 | 1983-84 | 1984-85 |
|---|---|---|---|
| a. Computer hardware or software purchases | 1 | 1 | 1 |
| b. Instructional resource support (materials or equipment, other than computers, for public school libraries, media centers or other departments) | 2 | 2 | 2 |
| c. Curriculum or new program development | 3 | 3 | 3 |
| d. Student support services (e.g., counseling, testing, dropout prevention) | 4 | 4 | 4 |
| e. Other instructional programs not included above (e.g., compensatory, bilingual/English as a second language, remedial, magnet schools) | 5 | 5 | 5 |
| f. Staff development | 6 | 6 | 6 |
| g. Other (e.g., staff mini-grants, community education, administration, evaluation) | 7 | 7 | 7 |
| h. Not sure | 9 | 9 | 9 |

3. Please estimate the percentages of the public school share of Chapter 2 funds that are being allocated in the current school year to the following uses.
(PLEASE GIVE YOUR BEST ESTIMATE) [I1/I1/B3]

a. ___ Computer hardware or software purchases

b. ___ Instructional resource support (materials or equipment, other than computers, for public school libraries, media centers or other departments)

c. ___ Curriculum or new program development

d. ___ Student support services (e.g., counseling, testing, dropout prevention)

e. ___ Other instructional programs not included above (e.g., compensatory, bilingual/English as a second language, remedial, magnet schools)

f. ___ Staff development

g. ___ Other (e.g., staff or school mini-grants, community education, administration, evaluation)

4. In the school year preceding Chapter 2 (1981-82), to which areas did your district allocate funds from antecedent programs?
(PLEASE CIRCLE ALL THAT APPLY) [--/I3/B4]

1 Computer hardware or software purchases
2 Instructional resource support (materials or equipment, other than computers, for public school libraries, media centers or other departments)
3 Curriculum or new program development
4 Student support services (e.g., counseling, testing, dropout prevention)
5 Other instructional programs not included above (e.g., compensatory, bilingual/English as a second language, remedial, magnet schools)
6 Staff development
7 Other (e.g., staff mini-grants, community education, administration, evaluation)
8 No funding was received from antecedent programs in that year
9 Not sure

## J. Decisionmaking About Chapter 2 Programs/Purchases for Public Schools

1. Over the past three years, what factors have mainly influenced how your district has used its Chapter 2 funds?
(PLEASE CIRCLE ALL THAT APPLY) [J1/K1/D1]

1 Desire to continue activities funded by antecedent programs
2 The increase in funds compared with antecedent programs
3 The decrease in funds compared with antecedent programs
4 Overall educational priorities of the district
5 Ongoing federal or state programs needing additional support
6 Preferences of key district or school staff
7 Preferences of the local community
8 Recommendations in national or state reform reports
9 State mandates or priorities
10 Unanticipated critical needs
11 Other (PLEASE SPECIFY)
99 Not sure

2. Over the past three years, who has had a very important role in selecting the purposes for which Chapter 2 funds have been used?
(PLEASE CIRCLE ALL THAT APPLY) [J2/--/D2]

1 District superintendent(s)
2 Chapter 2 coordinator
3 Other district administrators
4 School board members
5 Principals
6 Teachers 13
7 Teacher unions
8 Parents
9 Local civic groups/businesses
10 Other community members
11 Regional or intermediate unit
12 State department of education
Other (PLEASE SPECIFY)
99 Not sure

3. How has the school board been involved with Chapter 2?
(PLEASE CIRCLE ALL THAT APPLY) [J3/--/D3]

"The board has..."

0 Not had any involvement with Chapter 2 at all
1 Received information about Chapter 2 programs/purchases
2 Debated how Chapter 2 funds should be used
3 Approved budgets for Chapter 2 programs/purchases
4 Other (PLEASE SPECIFY)
9 Not sure

4. Which of the following have played a very important role in your district's decisions about how to use Chapter 2 funds? (PLEASE CIRCLE ALL THAT APPLY) [J4/--/D4]

1 A formal needs assessment
2 Consultation with school staff
3 Discussion among district officials
4 Consultation with parents/citizen groups
5 Other (PLEASE SPECIFY)
9 Not sure

5. Please indicate which of the following are major educational priorities for your district this year and which are being addressed with Chapter 2 funds? (PLEASE CIRCLE ALL THAT APPLY IN EACH COLUMN) [J5/--/D5]

| | 1984-85 Major Priorities | Areas Addressed With Chapter 2 Funds in 1984-85 |
|---|---|---|
| a. Career ladders or merit pay for teachers | 1 | 1 |
| b. Decreasing the dropout rate | 2 | 2 |
| c. Improving scores on minimum competency tests | 3 | 3 |
| d. Increasing graduation requirements | 4 | 4 |
| e. Lengthening the school day or year | 5 | 5 |
| f. Increasing time on task (other than by lengthening the school day or year) | 6 | 6 |
| g. School-level programs based on effective schools research | 7 | 7 |
| h. More instruction in computer literacy, math, or science | 8 | 8 |
| i. Partnerships with local businesses | 9 | 9 |
| j. None of the above | 99 | 99 |

6. Please indicate whether your district has less flexibility, about the same flexibility, or more flexibility to establish and implement programs under Chapter 2 compared with each of the following funding sources. (PLEASE CIRCLE ONE NUMBER FOR EACH PROGRAM) [J6/--/D7]

Flexibility Under Chapter 2 is:

| | Compared with Flexibility with: | Less | About the Same | More | Didn't Have Program | Not Sure |
|---|---|---|---|---|---|---|
| a. | Regular district education funds | 1 | 2 | 3 | -- | 9 |
| b. | School Library Resources (Title IV-B, ESEA) | 1 | 2 | 3 | 8 | 9 |
| c. | Support & Innovation (Title IV-C, ESEA) | 1 | 2 | 3 | 8 | 9 |
| d. | Emergency School Aid (ESAA or Title VI, ESEA) | 1 | 2 | 3 | 8 | 9 |
| e. | Career Education (Career Education Incentive Act) | 1 | 2 | 3 | 8 | 9 |
| f. | Other programs consolidated into Chapter 2 | 1 | 2 | 3 | 8 | 9 |

7. Aside from the level of funding received, what (if anything) limits how your district uses its Chapter 2 funds? (PLEASE CIRCLE ALL THAT APPLY) [J7/--/D6]

0 Nothing
1 Uncertainty about levels of funding
2 Federal regulations or federal non-regulatory guidance
3 Uncertainty about what auditors will require
4 State regulations or guidelines
5 Community pressure
6 Other (PLEASE SPECIFY)
9 Not sure

## K. Parent/Citizen Involvement in Chapter 2

1. Please indicate how the extent of parent/citizen involvement in decisionmaking for Chapter 2 compares with the extent of their involvement in decisionmaking for each of the following programs:
(PLEASE CIRCLE ONE NUMBER IN EACH ROW) [K1/--/E1]

| Compared with Involvement in Decisionmaking for: | Involvement in Chapter 2 Is: Smaller | About The Same | Greater | Not Sure |
|---|---|---|---|---|
| a. Regular district education funds | 1 | 2 | 3 | 9 |
| b. Current federal programs other than Chapter 2 | 1 | 2 | 3 | 9 |
| c. Antecedent programs consolidated into Chapter 2 | 1 | 2 | 3 | 9 |

2. Over the past three years, how has your district consulted with parents/citizens about Chapter 2?
(PLEASE CIRCLE ALL THAT APPLY) [K2/--/E2]

"The district..."

0 Has not consulted with parents/citizens
1 Set up a parent/citizen committee specifically for Chapter 2
2 Used an existing advisory committee(s)
3 Discussed plans for Chapter 2 at school board meetings
4 Discussed plans for Chapter 2 at PTA meetings
5 Consulted with individual parents
6 Conducted a community survey
7 Other (PLEASE SPECIFY)
9 Not sure

3. Other than school board members, which parents or citizen groups have been actively involved in Chapter 2 decisionmaking for your district?
(PLEASE CIRCLE ALL THAT APPLY) [K3/--/E3]

0 None
1 School-level PTA or advisory group
2 District-level PTA or advisory group
3 Advocacy groups related to antecedent programs
4 Other advocacy groups
5 Local businesses
6 Other (PLEASE SPECIFY)
9 Not sure

4. Over the past three years, how actively have parents/citizens in your district (other than school board members) sought to influence Chapter 2-related decisionmaking?
(PLEASE CIRCLE ONE NUMBER) [K4/--/E4]

1 Not at all actively
2 Not very actively
3 Somewhat actively
4 Very actively
9 Not sure

5. What explains any lack of public involvement in Chapter 2 decisionmaking?
(PLEASE CIRCLE ALL THAT APPLY) [K5/--/E5]

1 District programs or goals did not change due to Chapter 2
2 Chapter 2 funds are too small to generate much public interest
3 District did not encourage public involvement
4 District had difficulty identifying appropriate constituency groups
5 Low level of public interest or awareness
6 Citizens are satisfied with Chapter 2 activities
7 Other (PLEASE SPECIFY)
9 Not sure

6. What segments of the community are represented by the parents/citizens (other than school board members) who are most active in Chapter 2 decisionmaking?
(PLEASE CIRCLE ALL THAT APPLY) [K6/--/E6]

0 Does not apply; no parents/citizens are active in Chapter 2 decisionmaking

1 Affluent neighborhoods
2 Poor neighborhoods
3 Particular ethnic groups (PLEASE SPECIFY)
4 Other advocacy groups or segments of the community
5 None in particular
9 Not sure

7. What materials does your district make available to parents/citizen groups about its Chapter 2-supported activities?
(PLEASE CIRCLE ALL THAT APPLY) [K7/--/E7]

0 None
1 Chapter 2 application
2 Budgets
3 Evaluation reports
4 Newsletters
5 Information about students served
6 Information about private school participation
7 Other (PLEASE SPECIFY)
9 Not sure

## L. Interaction with State Department of Education about Chapter 2

1. How has your district interacted with your state department of education (or its regional offices) about Chapter 2?
(PLEASE CIRCLE ALL THAT APPLY) [L1/--/I1]

"State department of education staff..."

1 Held meetings to explain the program
2 Asked questions about how our Chapter 2 application for formula or state discretionary funds was filled out
3 Questioned our proposed uses of Chapter 2 funds (formula or state discretionary)
4 Conducted a monitoring visit(s)
5 Conducted an auditing visit(s)
6 Offered technical assistance on program mechanics
7 Offered technical assistance on educational services
8 Requested data for state-level evaluation

"The district contacted state staff with questions regarding..."

9 Application and reporting forms for Chapter 2
10 Allowable uses of Chapter 2 funds
11 Educational services to public school students
12 Services to private school students
13 Citizen participation in Chapter 2
14 Chapter 2 monitoring
15 Chapter 2 auditing
16 Evaluation of Chapter 2
17 Size of Chapter 2 allocation
18 Other interactions (PLEASE SPECIFY)
99 Not sure

2. Which of the following statements describe the nature of the state's interaction with your district about Chapter 2?
(PLEASE CIRCLE ALL THAT APPLY) [L2/--/I2]

"The state..."

1 Is more oriented to helping than checking up
2 Is more oriented to checking up than helping
3 Has taken a "hands off" approach
4 Has taken a directive approach
5 Has helped resolve the mechanics of the Chapter 2 program
6 Has not helped resolve the mechanics of the Chapter 2 program
7 Has provided help related to educational services delivered
8 Has acted on our suggestions
92 Has not responded to our suggestions
10 Administers Chapter 2 the same as other current federal programs
11 Other (PLEASE SPECIFY)
99 Not sure

3. Thinking about all your interactions with the state department of education, and also any current mandates or priorities of the department or legislature, in what ways has the state influenced your district's use of Chapter 2 funds?
(PLEASE CIRCLE ALL THAT APPLY) [L3/--/I3]

0 Does not apply; the state did not influence our district

"The state influenced..."

1 Our choice of programs/purchases
2 The types of students served
3 The types of services for private school students
4 Arrangements for consultation with the public
5 District evaluation activities
6 The mechanics of applying for funds
7 District record keeping
8 Other (PLEASE SPECIFY)
9 Not sure

## M. Chapter 2 As a Whole

1. In your opinion, what (if anything) has Chapter 2 accomplished for your district's overall educational program?
(PLEASE CIRCLE ALL THAT APPLY) [M1/01/J1]

"Chapter 2 programs/purchases have..."

1 Exposed students to new materials or technology
2 Improved student performance
3 Provided students with more or better services
4 Allowed us to initiate new types of programs
5 Allowed us to continue useful programs
6 Paid for additional staff
7 Improved our staff's qualifications
8 Improved our staff's morale
9 Improved administration
10 Provided funds to spend on local priorities
11 Provided funds to spend on state priorities
12 Not accomplished much of anything for our district
13 Other (PLEASE SPECIFY)

2. What problems or difficulties has Chapter 2 created for your district?
(PLEASE CIRCLE ALL THAT APPLY) [M2/02/J2]

0 No problems or difficulties

"Our district..."

1 Has received fewer funds than under antecedent programs
2 Lost staff due to Chapter 2 funding cuts
3 Can't provide as many services to certain types of students
4 Has difficulty negotiating decisions because various staff advocate different programs
5 Has to allocate more funds to serve private school students
6 Has to engage in a more difficult or time-consuming consultation process with parents and citizens
7 Other (PLEASE SPECIFY)
9 Not sure

3. Aside from funding levels, what would improve Chapter 2? (PLEASE CIRCLE ALL THAT APPLY) [M3/--/J3]

1 Fewer federal regulations/less nonregulatory guidance
2 More federal guidance
3 Less interference by the state
4 More guidance from the state
5 Clarification of auditing procedures
6 Change in state formula for awarding funds to districts
7 Change in state use of its discretionary share
8 Change in private school component
9 Other (PLEASE SPECIFY)
10 Nothing
99 Not sure

4. In terms of benefits to students, would you say your district gets more for its money with Chapter 2 than with other federal programs? [M4/--/J4]

1 Yes
2 No
9 Not sure

## N. Fiscal Information

THIS SECTION MAY BE MORE EASILY ANSWERED BY SOMEONE IN YOUR DISTRICT'S BUSINESS OFFICE. PLEASE FEEL FREE TO FORWARD THIS QUESTIONNAIRE TO THE APPROPRIATE PERSON.

1. Over the last three years, how easy has it been for your district to obtain revenues to meet its operating budget? (PLEASE CIRCLE ONE NUMBER) [N1/--/K1]

1 Very easy
2 Somewhat easy
3 Somewhat difficult
4 Very difficult
9 Not sure

2. What is your district's operating budget for the current school year? (Please include funds from all federal sources.) [N2/--/K2]

____________

3. Has your district's Chapter 2 program ever been audited in response to a federal or state request (other than the routine annual fiscal audit of the district)? [N3/—/K3]

1 Yes (PLEASE ANSWER Q. N4)
2 No (PLEASE GO TO Q. N5)
9 Not sure (PLEASE GO TO Q. N5)

4. On what did the last audit of Chapter 2 mainly focus? (PLEASE CIRCLE ALL THAT APPLY) [N4/--/K4]

1 Accounting details
2 Documentation and verification of Chapter 2 purchases
3 Use of Chapter 2 funds for allowable purposes
4 Use of Chapter 2 funds to supplement, not supplant, district programs
5 Allocation of funds to serve private school students
6 Other (PLEASE SPECIFY)
9 Not sure

5. Please give your best estimate of expenditures that will be made with the public school share of your district's Chapter 2 funds, both from the formula allocation and, if applicable, state discretionary sources, in the current school year? [N5/P3/K7]

a. ______ TOTAL 1984-85 CHAPTER 2 ALLOCATION (PUBLIC SCHOOL SHARE)

(PLEASE BE SURE THE FIGURES THAT YOU SPECIFY IN LINES b. THROUGH n. SUM TO THE NUMBER INDICATED IN LINE a.)

Personnel:

b. ______ Teachers (specialist, classroom)
c. ______ Administrators (including district staff)
d. ______ Other certificated personnel (e.g., counselors)
e. ______ Noncertificated personnel (e.g., aides)
f. ______ Other salaries

Equipment/Materials and Supplies:

g. ______ Computer hardware
h. ______ Other equipment (e.g., audiovisual)
i. ______ Computer software
j. ______ Books and other materials

Other:

k. ______ Consultants

l. ______ Training/staff development costs

m. ______ Indirect administrative costs

n. ______ Other (PLEASE SPECIFY)______________________________

6. For each of the following school years, please indicate your district's total allocation of Chapter 2 funds from the state formula and, if applicable, from the state's discretionary share, e.g., state competitive grants under Chapter 2. [N6/P1/K5]

| | Chapter 2 Funds Allocated to District for both Public and Private Schools | | |
|---|---|---|---|
| | Mean Formula Funds | Mean Discretionary/ Competitive Funds | |
| a. 1982-83 school year | ______ | ______ | (actual) |
| b. 1983-84 school year | ______ | ______ | (actual) |
| c. 1984-85 school year | ______ | ______ | (estimate) |

7. For each of the following school years, please indicate the amount of Chapter 2 funds that were made or will be made available to serve private school students. (Please include any percentage you keep for administering services to private school students.) [N7/P2/K6]

a. ______ 1982-83 school year (actual)

b. ______ 1983-84 school year (actual)

c. ______ 1984-85 school year (estimate)

8. Please indicate how much funding (excluding carryover) your district was allocated under each of the following antecedent federal programs in the 1981-82 school year, the year before Chapter 2. [N8/P4/K8]

a. $_____ School Library Resources (Title IV-B, ESEA)

b. $_____ Support & Innovation (Title IV-C, ESEA)

c. $_____ Emergency School Aid (Title VI, ESEA) (ESAA)

d. $_____ Career Education (Career Education Incentive Act)

e. $_____ Basic Skills Improvement (Title II, ESEA)

f. $_____ Metric Education (Title III-B, ESEA)

g. $_____ Arts in Education (Title III-C, ESEA)

h. $_____ Consumer Education (Title III-E, ESEA)

i. $_____ Law-related Education (Title III-G, ESEA)

j. $_____ International Cultural Understanding (Title III-N, ESEA)

k. $_____ Community Schools/Ed (Title VIII,ESEA)

l. $_____ Gifted & Talented (Title IX-A, ESEA)

m. $_____ Ethnic Heritage (Title IX-E, ESEA)

n. $_____ Teacher Corps (Title V-A, HEA)

o. $_____ Teacher Centers (Title V-B, HEA)

p. $_____ Alcohol & Drug Abuse Education (Alcohol & Drug Abuse Act)

q. $_____ Cities in Schools

## O. Distribution of Selected Chapter 2 Activities Among Public Schools

1. Please indicate in which types of public schools Chapter 2 supports the following activities in the current school year. (PLEASE CIRCLE ALL THAT APPLY IN EACH ROW) [01/Q1/L1]

| | Chapter 2 Supports This Activity In: | | | | | | |
|---|---|---|---|---|---|---|---|
| | No | Elementary Schools | | Jr. High/ Middle Schools | | High Schools | |
| | Schools | All | Some | All | Some | All | Some |
| a. Computer applications (any use of computer hardware or software purchased with Chapter 2 funds) | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| (PLEASE SPECIFY LOCAL ACTIVITY NAME) ______________________ | | | | | | | |
| b. Programs for above average or gifted and talented students (not necessarily under Subchapter C on your Chapter 2 application) | 0 | 1 | 2 | 3 | 4 | 5 | 6 |
| (PLEASE SPECIFY LOCAL ACTIVITY NAME) ______________________ | | | | | | | |

c. Remedial basic skills programs (any instructional program for students deficient in mathematics or language arts--not necessarily under Subchapter A on your Chapter 2 application) 0 1 2 3 4 5 6

(PLEASE SPECIFY LOCAL ACTIVITY NAME)________________________________

d. School-wide improvement programs (any effort to upgrade staff, curriculum, planning, or instruction for the whole school) 0 1 2 3 4 5 6

(PLEASE SPECIFY LOCAL ACTIVITY NAME)________________________________

P. Chapter 2 and Desegregation

1. In the past five years, has your district carried out any activities to desegregate schools or reduce racial isolation among schools? [--/J1/C1]

1 Yes (PLEASE ANSWER Q. P2)
2 No (PLEASE SKIP SECTION P)
9 Not sure (PLEASE SKIP SECTION P)

2. Were these activities initiated in response to an order by a court or government agency? (PLEASE CIRCLE ONE NUMBER) [--/J2/C2]

1 Yes
2 No
9 Not sure

3. In the past three years, what kinds of desegregation-related activities have been supported by Chapter 2 funds? (PLEASE CIRCLE ALL THAT APPLY) [--/J3/C3]

0 None
1 Compensatory instruction for affected students
2 Human relations classes/counseling for affected students
3 Training and support for teachers
4 Community liaison activities
5 Activities related to discipline or school safety
6 Planning and monitoring
7 Dropout prevention
8 Magnet schools
9 Other (PLEASE SPECIFY)

4. How has the shift to Chapter 2 affected your district's desegregation-related activities?
(PLEASE CIRCLE ALL THAT APPLY) [--/J4/C4]

"The shift to Chapter 2 has..."

0 Not affected our district's desegregation-related activities
1 Contributed to the elimination of desegregation-related activities
2 Contributed to the reduction in desegregation-related activities
3 Helped us to initiate or expand desegregation-related activities
4 Caused us to change the type of desegregation-related activities
5 Required us to seek other funding sources to maintain our desegregation-related activities
6 Other (PLEASE SPECIFY)
9 Not sure

## Q. District Administration of Chapter 2

1. How burdensome (if at all) are each of the following administrative activities for Chapter 2?
(PLEASE CIRCLE ONE NUMBER FOR EACH ACTIVITY) [—/L1/F1]

| | | Not At All | Not Very | Some-What | Very |
|---|---|---|---|---|---|
| a. | Planning for programs/purchases | 1 | 2 | 3 | 4 |
| b. | Performing needs assessment | 1 | 2 | 3 | 4 |
| c. | Applying for funds | 1 | 2 | 3 | 4 |
| d. | Supervising programs/purchases | 1 | 2 | 3 | 4 |
| e. | Accounting for expenditures | 1 | 2 | 3 | 4 |
| f. | Reporting to state and federal agencies | 1 | 2 | 3 | 4 |
| g. | Evaluating the use of funds | 1 | 2 | 3 | 4 |
| h. | Interacting with private schools and administering programs for private school students | 1 | 2 | 3 | 4 |
| i. | Consulting with parents and other community members | 1 | 2 | 3 | 4 |

2. Are administrative burdens under Chapter 2 smaller, the same, or greater than under the antecedent programs that your district had prior to Chapter 2?
(PLEASE CIRCLE ONE NUMBER) [--/L2/F2]

"Administrative burdens under Chapter 2 are..."

1 Smaller
2 The same
3 Greater
9 Not sure

3. What problems has your district had with the fiscal management of its Chapter 2 program?
(PLEASE CIRCLE ALL THAT APPLY) [--/L3/F3]

"The district..."

0 Has had no fiscal management problems
1 Is not adequately reimbursed for administrative costs
2 Does not know its annual Chapter 2 allocation early enough to plan adequately for programs/purchases
3 Does not get Chapter 2 funds in time for expenditures
4 Has had fiscal management problems with private school services
5 Has had difficulty determining what practices constitute supplanting
6 Other (PLEASE SPECIFY)________________________________
9 Not sure

## R. Evaluating Uses of Chapter 2 Funds

1. How does your district evaluate its uses of Chapter 2 funds?
(PLEASE CIRCLE ALL THAT APPLY) [--/M1/G1]

"Our district..."

1 Collects informal feedback from staff on uses of Chapter 2 funds
2 Collects simple statistics describing purchases or participants in programs supported by Chapter 2
3 Conducts formal evaluations of some uses of Chapter 2 funds (PLEASE ANSWER Q. R2)
4 Conducts formal evaluations of all uses of Chapter 2 funds
5 Other (PLEASE SPECIFY)______________________

6 Conducts no evaluation of uses of Chapter 2 funds (PLEASE GO TO Q. R3)
9 Not sure (PLEASE GO TO Q. R3)

2. For what purposes are these evaluations done?
(PLEASE CIRCLE ALL THAT APPLY) [--/M2/G2]

1 To comply with state or federal requirements
2 To keep ourselves informed
3 To make decisions about programs supported by Chapter 2
4 To prepare reports for the school board
5 To keep the public informed
6 Other (PLEASE SPECIFY)
9 Not sure

3. Who has expressed an interest in evaluative information on Chapter 2-supported programs or purchases?
(PLEASE CIRCLE ALL THAT APPLY) [--/M3/G3]

0 Nobody
1 District superintendent(s)
2 Other district administrators
3 School board members
4 Principals
5 Teachers 99
6 Teacher unions
7 Parents
8 Local civic groups/businesses
9 Other community members
10 Private school officials
11 State department of education
12 Regional or intermediate unit
13 Other (PLEASE SPECIFY)
Not sure

## S. Chapter 2 Services for Private School Students

1. In the current school year, what is the total number of nonprofit private schools within your district's boundaries that are eligible to participate in Chapter 2?
(PLEASE CIRCLE OR ENTER NUMBER, AS APPROPRIATE) [--/N1/H1]

0% None (PLEASE SKIP SECTION S)
1 One or more (PLEASE SPECIFY) __________

2. Is the involvement of private school students under Chapter 2 handled by the district, an intermediate unit, or is there another arrangement?
(PLEASE CIRCLE ONE NUMBER) [--/N2/H2]

1 The district (PLEASE ANSWER Q. S3)
2 An intermediate unit or another arrangement (PLEASE SKIP REMAINDER OF SECTION S)

3. Of the schools indicated in Question S1, how many are participating in Chapter 2 in the current school year?
(PLEASE ENTER NUMBER) [—/N3/H3]

______________

4. Of the schools indicated in Question S3, are any affiliated with a religious denomination? [—/N4/H4]

1 Yes
2 No
9 Not sure

5. Under Chapter 2, are fewer, the same, or more private schools participating in the current school year than participated in the programs supported by antecedent funding sources in the 1981-1982 school year?
(PLEASE CIRCLE ONE NUMBER) [—/N5/H5]

1 Fewer
2 The same
3 More
9 Not sure

6. How does the percentage of your district's Chapter 2 funds allocated to serve private school students in the current school year compare to the percentage used to serve private school students under the antecedent programs your district had before Chapter 2?
(PLEASE CIRCLE ONE NUMBER) [—/N6/H6]

"With Chapter 2, private school students are receiving..."

1 A smaller percentage
2 Approximately the same percentage
3 A larger percentage
9 Not sure

7. Over the past three years, what purchases/programs for private school students have been supported with Chapter 2 funds?
(PLEASE CIRCLE ALL THAT APPLY) [—/N7/H7]

1 Computer hardware or software purchases
2 Instructional resource support (materials or equipment, other thancomputers, for libraries, media centers or other departments)

3 Curriculum or new program development
4 Student support services (e.g., counseling, testing, dropoutprevention)
5 Other instructional programs not included above (e.g., compensatory, bilingual/English as a second language, remedial)
6 Staff development
7 Other (e.g., staff mini-grants, community education, administration, evaluation) (PLEASE SPECIFY)
9 Not sure

8. What guidance has your district provided to private schools regarding the use of Chapter 2 funds for their students?
(PLEASE CIRCLE ALL THAT APPLY) [--/N8/H8]

"Chapter 2 funds..."

1 Cannot pay for personnel
2 Can only be used for books, materials, equipment
3 Can only be used for secular purposes (districts with religious schools N = 421)
4 Have to be used for the same things as provided to public school students under Chapter 2
5 Have to be used for the same things as provided to private school students under antecedent programs
6 Other (PLEASE SPECIFY)
7 District has not provided any particular guidance
9 Not sure

9. How does your district monitor Chapter 2-supported purchases or activities in private schools?
(PLEASE CIRCLE ALL THAT APPLY) [--/N9/H9]

0 Does not apply; the district does not monitor Chapter 2-supported purchases or activities in private schools

"The district..."

1 Requires private schools to sign assurances of nondiscrimination
2 Checks nonprofit status of private schools
3 Checks purchases/activities of private schools for secular nature/use (districts with religious schools N = 430)
4 Checks that Chapter 2 purchases/activities benefit students, not schools
5 Checks that Chapter 2 purchases/activities are supplementing, not supplanting
6 Investigates private schools' maintenance of effort

7 Checks that purchases conform to Chapter 2 guidelines
8 Other (PLEASE SPECIFY)
9 Not sure

10. In the current school year, how does the amount of Chapter 2 funds allocated to serve participating private school students compare to the amount allocated to serve public school students? (PLEASE CIRCLE ONE NUMBER) [--/N10/H10]

"The per pupil amount allocated to serve participating private school students is ..."

1 The same as the per pupil amount to serve public school students
2 Less than the per pupil amount to serve public school students, due to various adjustments
3 More than the per pupil amount to serve public school students, due to various adjustments
9 Not sure

11. If some private schools are not participating in Chapter 2, what happens to the funds that would have been used to serve their students? (PLEASE CIRCLE ONE NUMBER) [--/N11/H11]

0 Not applicable; either all private schools are participating in Chapter 2 or no funds are set aside to serve students in non-participating private schools

"The funds are..."

1 Reallocated to participating private schools only
2 Reallocated to public schools only
3 Divided among public and participating private schools
4 Retained by the state and never forwarded to the district
5 Other (PLEASE SPECIFY)
9 Not sure

12. Did your state department of education indicate to your district the amount of money to be allocated to serve private school students (or the formula by which this could be calculated)? [--/N12/H12]

1 Yes
2 No
9 Not sure

13. What problems has your district encountered in involving private school students in Chapter 2?
(PLEASE CIRCLE ALL THAT APPLY) [--/N13/H13]

0 None
1 Notifying and consulting with private schools about Chapter 2
2 Forming relationships with private schools that were not involved in antecedent programs
3 Providing services to private school students different from those provided to public school students
4 Monitoring private schools' use of Chapter 2 materials or services
5 Paperwork generated by private school involvement
6 Unreimbursed administrative costs of providing materials or services to private school students
7 Sharing money with private school students that could be used for public school students
8 State law that limits private school student participation
9 Other (PLEASE SPECIFY)
99 Not sure